

**MEASURING OUTCOMES-BASED PERFORMANCE IN THE SOUTH AFRICAN GOVERNMENT**


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**Presentation structure**


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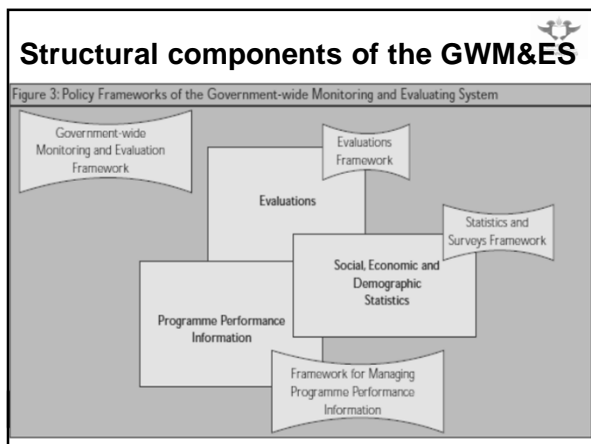
**M&E Institutionalization comparatively**


Paris Declaration 2005: Country-led M&E initiatives:


- UK
- Canada
- USA
- Australia
- Chile
- Colombia before new regime change
- Mexico 

**M&E Institutionalization in SA**

- 1 Evidence-based paradigm formally adopted
- 2 Minister for National Planning
- 3 National Planning Commission [www.npconline.co.za/](http://www.npconline.co.za/)
- 4 Minister for Performance M&E
- 5 GWM&ES & NPEF
- 6 Programme of Action: monitors delivery agreements for 12 strategic outcomes [www.thepresidency.gov.za](http://www.thepresidency.gov.za)
- 7 National, prov, local, publ, priv & voluntary
- 8 Ministerial service delivery agreements 



**Emerging GWM&ES in SA**

- Presidency coordinates GWM&ES
- Emerging framework intended to provide min structure and min uniform procedures (eg indicators, SASQAF, Treasury performance reporting framework)
- Implemented in decentralised way, maintaining existing systems & procedures afap
- Establish reporting system from community & eventually NGOs through prov, national depts to Presidency. 

### GWM&ES assessment 1

- GWM&ES not integrated, coherent system
- Regulated by collectivity of different sectoral policy docs from different stakeholders not coherently integrated
- Many details still fuzzy or absent
- Still emerging system: no time frames
- SASQAF problems with stats quality
- Not enforced
- Rollout to provs & lower problematic
- No vision: what to M&E: outputs, outcomes
- Focus mainly on how

### GWM&ES assessment 2

- No link to African or other evaluation guidelines
- Mid-term Development Indicators very crude, incomplete & unsystematic
- Turf battles detrimentally affect system implementation (eg PSC & DEAT).
- Implementation capacity limited
- Massive training effort needed by PALAMA

### GWM&ES assessment 3

- A policy system = a complex adaptive system
- Evidence-based policy assessment relies on integrated higher order M&E function in govt
- GWM&ES = emerging, complex adaptive system:
  - many simple variables/components
  - of an open system subject to external influences,
  - interacting with each other in a dynamic, rich historically determined and non-linear manner,
  - defying full understanding,
  - operating far from equilibrium (hovering on the edge of chaos),
  - but surviving and expanding in a self-learning and self-regulatory manner

### GWM&ES assessment 4

- GWM&ES does not have a formal hierarchical structure
- operates as loose network of autonomous agencies periodically interacting with one another.
- No clear line of authority
- frequent turf battles cause confusion and conflict among stakeholders.
- System still evolving, as new rules of the game are being formulated or clarified, changing power and authority relationships among the main stakeholders.
- System has an inherent survival capability
- Learning lessons in a self-regulatory manner illustrates complex nature of system
- The complex nature of the system justifies the decentralised implementation approach
- Optimal balance between centrifugal and centripetal forces in the system is essential for success.

### NPEF 2011 problem & aims

- Problem statement: Evaluation is applied sporadically and not informing planning, policy-making and budgeting sufficiently, so we are missing the opportunity to improve Government's effectiveness, efficiency and impact.
- *'evaluations must be systematic, structured and objective and must use defensible techniques for data collection and reliable data sources. They must also be available for use by policy-makers and not kept secret because the findings are uncomfortable'.(p3)*

### 2011 NPEF perceived constraints

- Lack of clear policy and strategic direction for evaluation;
- Need to promote the use of knowledge from both evaluation and research, improving the knowledge base;
- Confusion on what is evaluation, performance auditing, research etc;
- Evaluation work exists but is not necessarily known, either within departments or externally;
- Lack of coordination between organizations and fragmentation of approaches;
- Poor quality project plans make evaluation difficult;
- Inadequate use of evaluation: perception of luxury;
- Lack of institutionalization of evaluation in government

### NPEF 2011 content summary (1)

- Why evaluate?: merit, worth, performance, accountability & knowledge (p3)
- Evaluation: Systematic collection and objective analysis (?) of evidence on public policies, programmes, projects, functions and organizations to assess issues such as relevance, performance (effectiveness and efficiency) and value for money, and recommend continuous collecting, analysing and reporting of data in a way that supports effective management (?)
- Monitoring: Evaluation principles: development-oriented, priorities, ethical and with integrity, utilisation-oriented, sound methods, transparency, accountability, inclusive & participatory, learning oriented (p5)
- Distinguish different concepts (eg audit, research, review, & other evaluation concepts (p6)

### NPEF 2011 content summary (2)

Types & use of evaluation (p10):

- Diagnosis: Problem & baseline determination (formative?)
- Synthesis: General & comparative rapid assessment of whole project from secondary data (summative?)
- Design: Inner logic & consistency from secondary data
- Implementation: Operational mechanisms & programme logic
- Impact: change in outcomes, experimental approach (R 10-20m) (?)

Table 6: Use of different types of evaluation before, during and after interventions

Before the intervention (pre-programme)	During the intervention	After the intervention is complete (or at major phases)
Diagnostic assessment to understand the problem and inform the design or policy development process	Design evaluation to assess the quality and implementability of the intervention design in practice	Impact evaluations possibly including implementation evaluation to assess why impacts have been achieved or not and implications for the future. Builds on baseline.
Synthesis to review current evidence <small>(the intervention is planned, may include a feasibility study)</small>	Synthesis to review evidence during programme operation, building on monitoring information	Synthesis to review evidence during programme operation, building on evaluation data of components
Design evaluation to assess the quality and implementability of the proposed intervention design	Implementation evaluation to see whether a programme or policy's operational mechanisms support achievement or not, and understand why.	
Baseline for impact evaluation		

### NPEF 2011 content summary (3)

- Quality plans for credible & quality evaluations: Need for better project plans, ToC & programme logic models (not or!) per project to facilitate evaluation (p13).
- Evaluation process: pre-design, ToR, service providers (not price only but also technical competence), implementation, peer review, communicating results (1-3-25 rule?) (p 16).
- Evaluation Follow-up & utilisation: prioritise recommendations, disseminate report, improvement plan, monitor implementation, apply in budget allocations (p 17).
- Institutionalising evaluation: legal framework, role clarification, systematic planning & budgeting for eval, standardised M&E systems & processes, DPME support, PALAMA, Universities & SAMEA (p 19)
- Co-ordination of evaluation across govt: all stakeholders participate (+ SAMEA & univ?) (p21)

### NPEF 2011 assessment

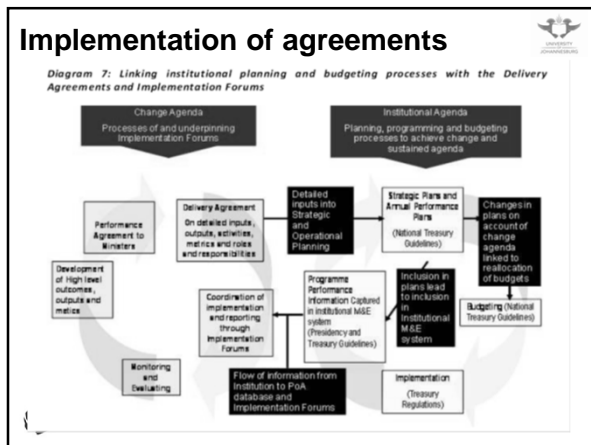
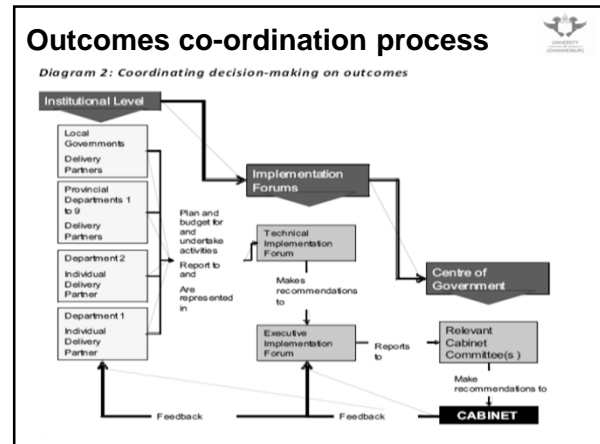
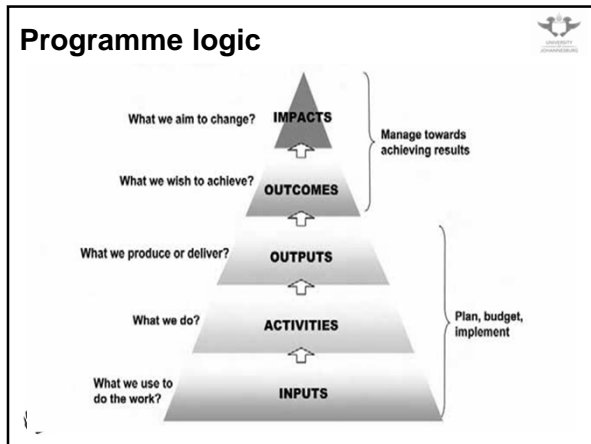
- Good start with gaps & overlaps
- Too top-down: little consultation & communication
- Evaluation conflated with monitoring
- Explicit distinctions needed: Programme vs HR evaluations, ToC & Programme logic Formative vs summative, outcome vs impacts, simple vs complex not distinguished
- Selective classification of approaches incomplete
- Standards for evaluation needed
- Indicators need refinement
- Feasible legislation needed
- Database needed of all evaluations
- Training: PALAMA & SAMEA
- Delivery agreements to be synchronised with NPEF

### Strategic National Outcomes

- 1 Improved quality of basic education.
- 2 Long & healthy life for all in SA
- 3 Safety for all people in SA
- 4 Decent employment through inclusive growth.
- 5 Skilled & capable workforce to support inclusive growth path.
- 6 Efficient, competitive & responsive economic infrastructure networks.
- 7 Vibrant, equitable, sustainable rural communities with food security for all.
- 8 Sustainable human settlements & improved quality of life.
- 9 Responsive, accountable, effective & efficient local governments
- 10 Environmental assets & natural resources protected & enhanced.
- 11 Better Africa & better world through better global relations.
- 12 Efficient & development oriented public service & empowered citizens

### Ministerial Service Delivery Agreements

- 1 For each of 12 outcomes
- 2 Main & supporting stakeholders
- 3 Management not punitive tool
- 4 Based on negotiations for outcomes
- 5 Summarise problem, outcome, outputs, activities, indicators, baselines, targets
- 6 Risks, constraints & mitigation strategies
- 7 Implementation monitored by Impl Forum
- 8 Governance & reporting arrangements
- 9 Underlying ToC implicit



- ### Main education problems
- 1 Discriminatory apartheid education system impacted negatively on black teachers and learners
  - 2 'Ungovernability' & 'Liberation before Education' under apartheid
  - 3 Post-apartheid OBE curriculum complicated
  - 4 Inadequate education & training of teachers
  - 5 Undisciplined & uncommitted learners
  - 6 Culture of entitlement: AA & system exploitation
  - 7 Culture of non-performance
  - 8 Bad policy planning & implementation

### Delivery agreement 1: Basic Education

Output 1: Improve the quality of teaching and learning.	Sub output 1: Improve teacher capacity and practices
	Sub output 2: Increase access to high quality learning materials
Output 2: Undertake regular assessment to track progress	Sub output 1: Establish a world class system of standardised national assessments
	Sub output 2: Extract key lessons from ongoing participation in international assessments
Output 3: Improve early childhood development	Sub- output 1: Universalise access to Grade R
	Sub output 2: Improve the quality of early childhood development
Output 4: A credible, outcomes-focused planning and accountability System	Sub output 1: Strengthen school management and promote functional schools
	Sub output 2: Strengthen the capacity of district offices

- ### Main employment & economic problems
- 1 Contradictory economic policies: Land tenure, nationalization, immigration, skills development
  - 2 Fast redistribution vs slow growth strategies
  - 3 Strong protection & weak competition focus (Walmart)
  - 4 AA & BBBEE badly conceived & implemented
  - 5 Few public works programmes
  - 6 Too powerful unions

Delivery agreement 4: Employment via growth	
1. Sub-outcome: Income and equality	Increased average income and reduced levels of poverty Increased socio-economic equality for all sectors of the population
2. Sub-outcome: Labour Absorption and Employment	Decent employment i.e. accelerating employment creation Higher rates of labour absorption, meaning that more of the working-age population has jobs
3. Sub-outcome: GDP Growth	High rates of employment generating growth indicating economic expansion
4. Sub-outcome: Diversification of the Economy	Movement towards a greater balance between primary, secondary and tertiary sectors

Delivery agreement 4: Employment via growth	
Output 1: Faster sustainable growth	Sub-outputs: Development Growth Path, Income distribution, exchange rate, savings, monetary & fiscal policy, social agreements
Output 2: More labour absorbing growth	Sub-outputs: Industrial development finance, procurement of local products, more labour intensity, spatial development progr, green econ
Output 3: Reduce youth unemployment	Sub-outputs: school & skills improvement, special youth employment programmes, possible wage subsidy
Output 4: Increased competitiveness	Sub-outputs: better marketing, financing & market diversification, tech sector, infrastructure exports, R&D
Output 5: Improved econ cost structure	Sub-outputs: Identify main problems (food, transport, skills, infrastructure etc), RIAs,
Output 6: SMME & Co-op support	Sub-outputs: Reduce constraints, integrate 1 <sup>st</sup> & 2 <sup>nd</sup> economies
Output 7: Expand Pub Works Programme	Sub-outputs: Identify programmes maximizing employment & social cohesion

Main Local Government services delivery problems
1 Incompetent/inexperienced councillors
2 Incompetent/inexperienced officials
3 Bad decisions: wrong choices & priorities
4 Cultures of corruption, entitlement, non-performance, non-payment & system exploitation
5 Ideological policy drivers: service production vs provision (outsourcing & regulation)
6 Too strong unions
7 Weak revenue system: non-sharing
8 Skills shortage & bad utilization

Delivery agreement 9: Good local govt system
No ToC, & mix of outputs and outcomes:
• 'Output' 1: Implement a differentiated approach to municipal financing, planning and support
• 'Output' 2: Improving Access to Basic Services.
• Output 3: Implementation of the Community Work Programme
• Output 4: Actions supportive of the human settlement outcomes
• 'Output' 5: Deepen democracy through a refined Ward Committee model
• 'Output' 6: Administrative and financial capability
• 'Output' 7: Single Window of Coordination
• + Indicators, baselines, targets & risk assessments

Conclusions
• GWM&ES & NPEF ambitious attempts by SA state to guide & control direction of transformation
• Evidence-based policy evaluation paradigm rhetorically only adopted by state: Supposed to narrow gap between theory & practice
• M&E system: emerging complex adaptive system institutionalised in top-down way
• NPEF latest guise: Outcomes focus centrally implemented & monitored via Ministerial Delivery Agreements & Implementation Forums
• ToCs implicit & indicators, baselines, targets, risks explicit but inadequate & need revision
• Need for more experienced and specialised evaluation programme logic and ToC skills

GWM&ES improvement strategies
• Need for coherent and feasible, integrated and holistic national vision, strategic & operational public management systems to optimise M&E results;
• Environmental, sustainability & governance indicators to be better integrated into development indicators, distinguishing clearer output from outcome and impact indicators.
• Fast-track roll-out of GWM&ES to prov & loc govt levels
• Improve capacity of M&E Coordinating Unit in the Presidency
• Improve inter-govt communication and marketing for GWM&ES.
• Reduce internal turf battles and overlapping M&E mandates among main stakeholders
• Build organisational culture of network co-operation rather than hierarchical competition

