Use of cases and knowledge products for policy and change
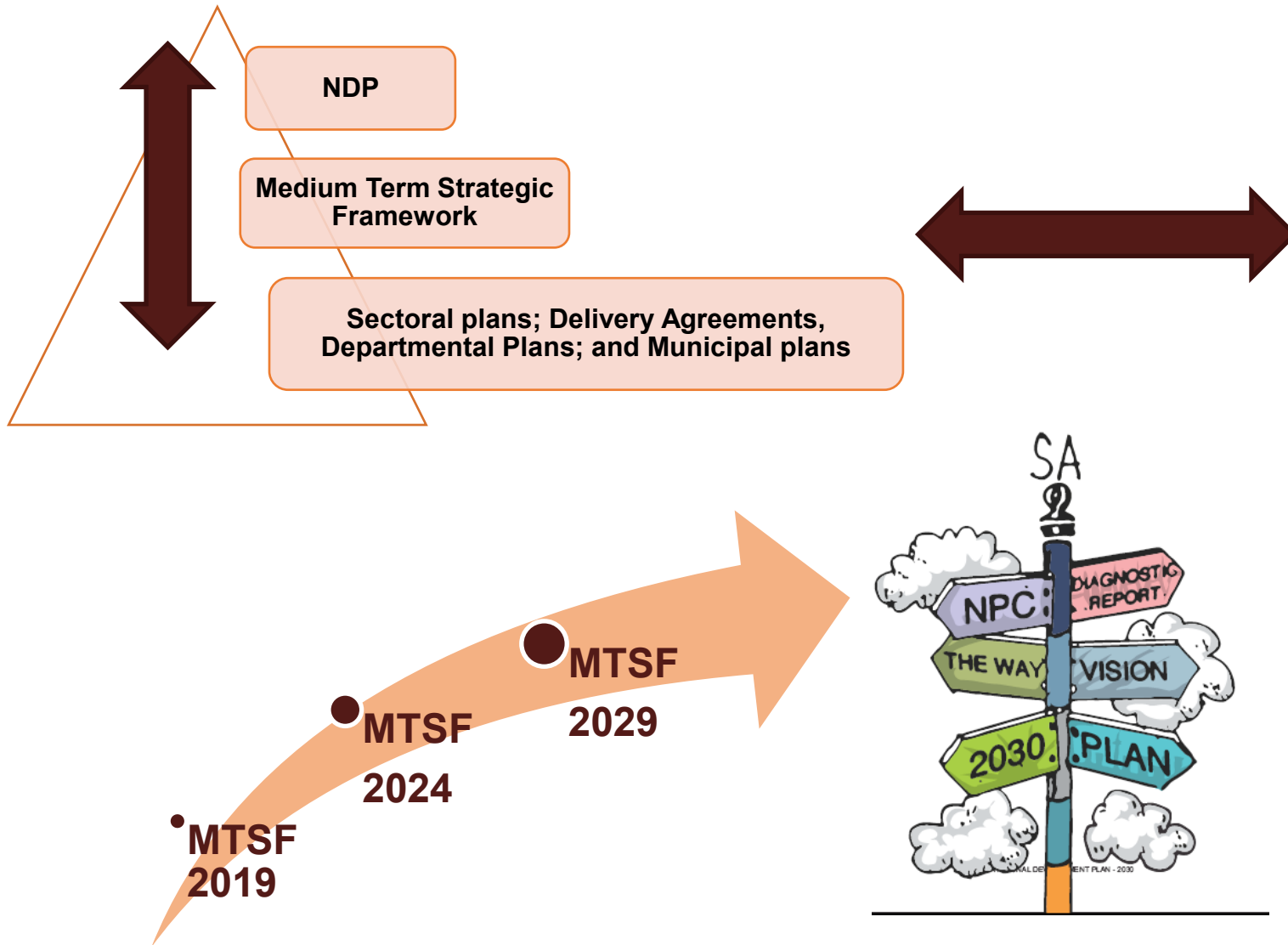
26 October 2021

Pedagogy and case studies

Ms Harsha Dayal

Department of Planning, Monitoring and Evaluation

Presidency of South Africa

Whole of Government (system) – Applied research

NDP

Medium Term Strategic Framework

Sectoral plans; Delivery Agreements, Departmental Plans; and Municipal plans

MTSF 2019

MTSF 2024

MTSF 2029

7 National priorities

1. Capable, Ethical and Developmental State

2. Economic transformation and job creation

3. Education, skills and health

4. Consolidating the social wage through reliable and quality basic services

5. Spatial integration, human settlements and local government

6. Social cohesion and safer communities

7. A better Africa and world
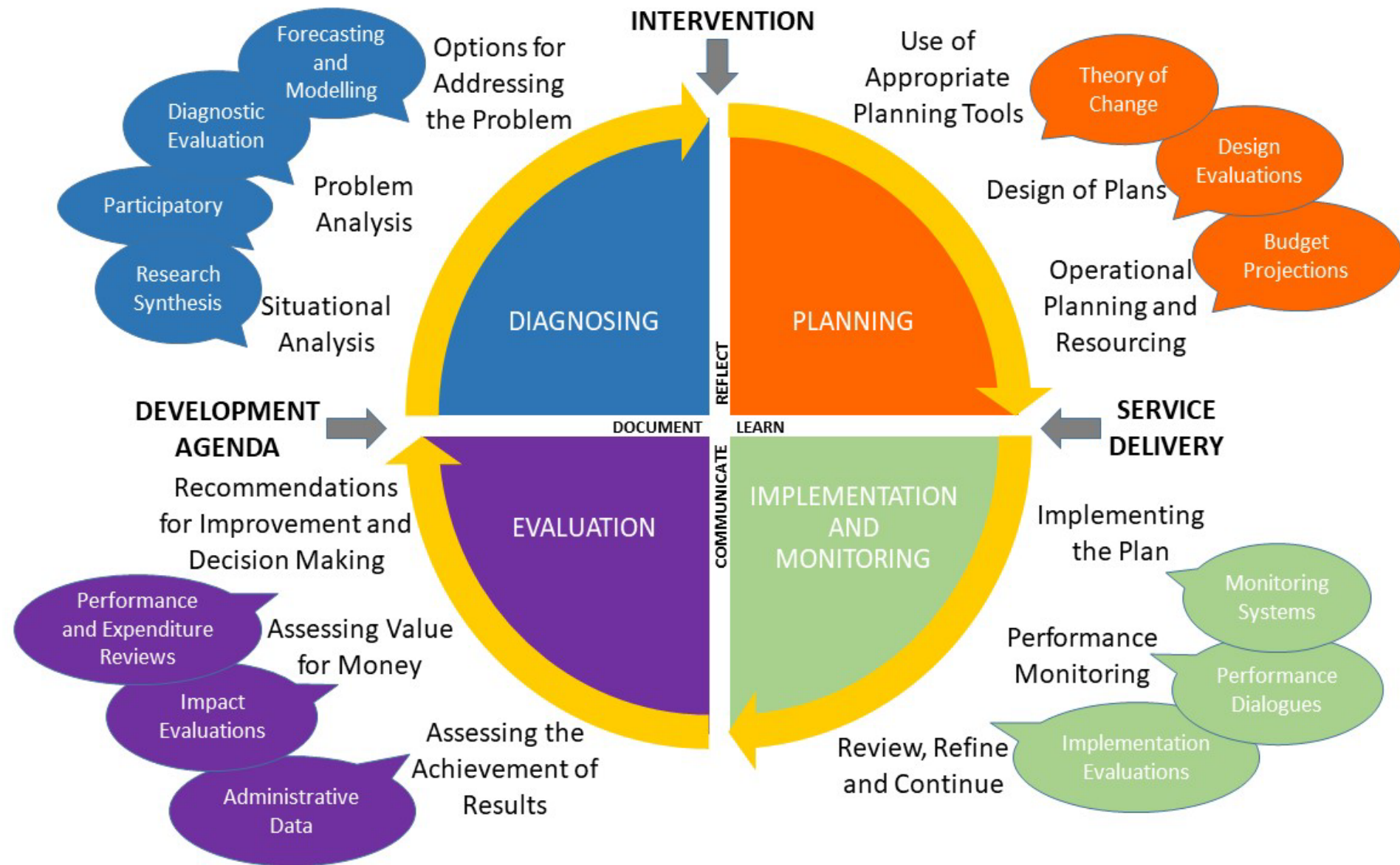
Locating case studies in the basket of research designs

Qualitative case study design Single phenomenon	Complex thematic case studies Multiple phenomenon	Country cases Aggregate levels	Traditional social science research
Cross sectoral Horizontal integration	Theory of Change Measuring change – impact of policy intervention	International benchmarking Positioning SA globally	Emerging research/ **evidence synthesis**

DANGER OF A SINGLE STORY!

"The single story creates stereotypes.... And the problem with stereotypes is not that they are untrue, but that they are incomplete."

Chimamanda Ngozi Adichie

Nigerian writer and activist

TED talk

Why synthesize evidence in a policy context

1. Danger of a single study

Single studies and singular sources of evidence are incomplete.

2. New knowledge & patterns rest in the totality of evidence

The sum is more than its parts
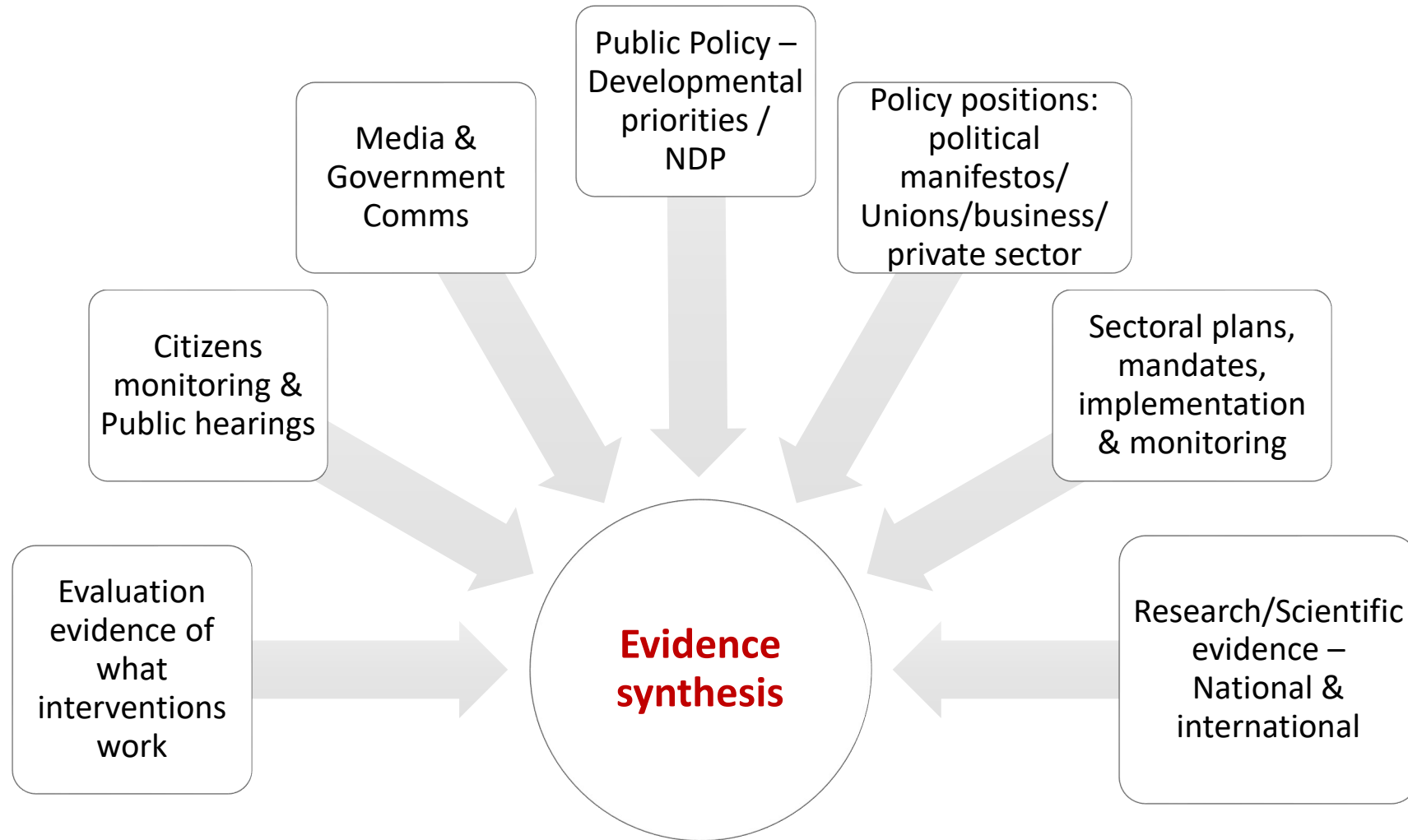
3. Addressing complexity

Policy making to support positive social outcomes is complex. We need to understand context and have access to relevant information

4. Being pragmatic

Who has time to access, appraise and read all the evidence?

Pushing the boundaries of what constitutes evidence - INCLUSIVITY

Methodology for evidence synthesis

1. **Policy narrative** *(agenda setting)*
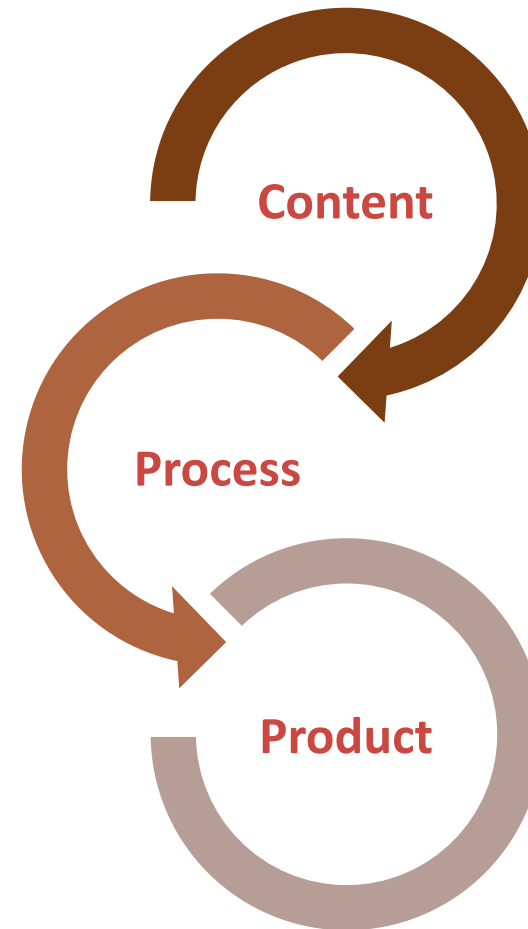
2. **Decide on evidence** *(inclusion criteria)*

3. **Systematic search** *(transparent)*

4. **Extraction-organization** *(curation)*

5. **Critically appraise** *(rigor & quality)*

6. **Present & visualize** *(share)*

7. **Engagement & use** *(facilitate; coordinate; support)*

Content

Process

Product

DPME In-house KNOWLEDGE PRODUCTS

Strategic assignments

Evidence Synthesis

Rapid Review
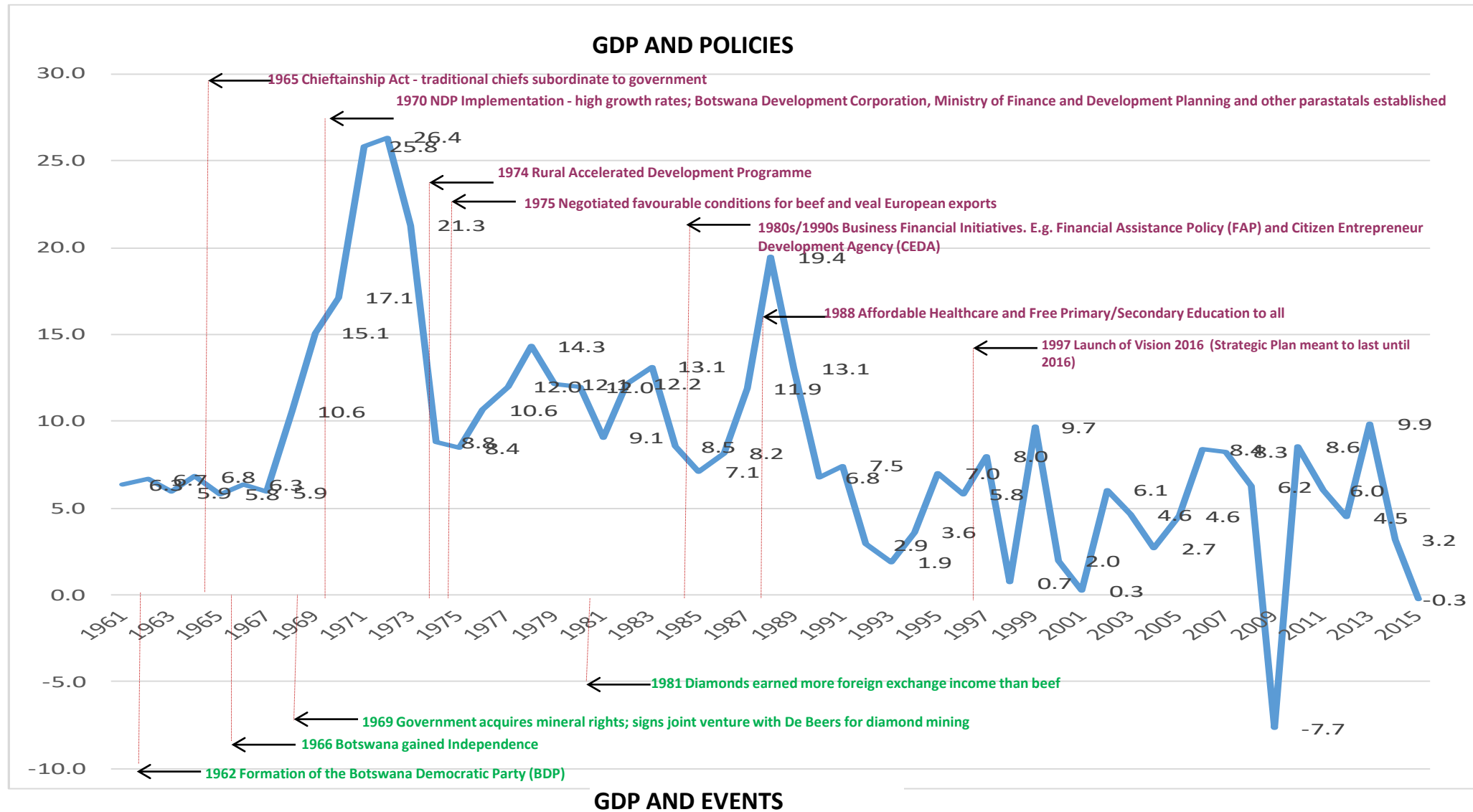
Briefing documents

Case Studies

Technical Reports

Case studies facilitates critical thinking and policy analysis...

Case Study 1 - Botswana: GDP with key policy shifts and events

GDP AND POLICIES

1965 Chieftainship Act - traditional chiefs subordinate to government

1970 NDP Implementation - high growth rates; Botswana Development Corporation, Ministry of Finance and Development Planning and other parastatals established

1974 Rural Accelerated Development Programme

1975 Negotiated favourable conditions for beef and veal European exports

1980s/1990s Business Financial Initiatives. E.g. Financial Assistance Policy (FAP) and Citizen Entrepreneur Development Agency (CEDA)

1988 Affordable Healthcare and Free Primary/Secondary Education to all

1997 Launch of Vision 2016 (Strategic Plan meant to last until 2016)

1981 Diamonds earned more foreign exchange income than beef

1969 Government acquires mineral rights; signs joint venture with De Beers for diamond mining

1966 Botswana gained Independence

1962 Formation of the Botswana Democratic Party (BDP)

GDP AND EVENTS

2. Country cases

CHILE

CHILE	Evidence codes
1. What are the most common terms used, and why (if applicable)	2. For which pe...
Developmental state, Developmental Network State	• 1975-19... • 1980s-1... • Argues t... social ob... • Develop...

3. Overall, what conditions promoted Chile to aspire to become a devel...

- **Regime and subsequent political ideology change (5 mentions):** the 1980s ushered in an era of political participation and collabo...
- **Failure of import-substituting industrialisation (1 mention):** Th... then recent success of export promoting policies in East Asian co... substitution to the promotion of exports.
- **High levels of inequality (1 mention):** After the regime change a... country with high levels of inequality, especially along class and ...
- **Political instability (1 mention):** By the time the Pinochet dictat... alternate periods of democracy and authoritarianism implying hi...
- **Strong foreign-exchange earnings (1 mention):** One of the facto... become a developmental state was its strong foreign exchange e... fund its development strategies.
- **Respect for the Coherent, Disciplined State's legitimacy (1 men...** political collaboration in the aftermath of the Pinochet dictators... successful developmental state.

4. Was there a specific event or trigger that influenced Botswana's deci... as a developmental state?
- The end of the Pinochet dictatorship in 1990

5. What was the policy mix adopted as part of becoming a developmen... time?

General Public Services
Executive and legislative organs, financial and fiscal affairs, external affa...
the ministry of finance and Reserve Bank acting as gatekeepers ensure... factors with narrow interest while also allowing **for a high degree of a...**

SINGAPORE

SINGAPORE	Evidence codes
1. What are the most common terms used, and why (if applicable)	2. For which period is the cou...
There is some disagreement amongst authorities as to whether Singapore was a Developmental State or a competitive/entrepreneurial state. *Amongst those authors who see Singapore as Developmental State, the most common terms used are: developmental City-State or developmental State.*	*The literature suggests that Sing... between 1980 and 2000. Howev... point for the developmental sta... study,* **Singapore is treated as a...** *Independence in 1959.*

3. Overall, what conditions promoted Singapore to aspire to become a developmental...
The literature provides some clues as to the conditions faced by Singapore following its...
general, it appears that Singapore was a relatively better position at the end of WWII, w...
That said, there is not enough evidence in the extraction to identify the specific conditio...
become a developmental state.

General Public Services
- By the **end of colonial rule (2 mentions),** Singapore had inherited **an efficient...** With the institutional structures and a competent administration in place, Sing... its developmental agenda. Another important legacy of colonial rule was a stro... system.

Economic Affairs
- After the WWII, Singapore adopted an **open immigration policy** (1 mention) to...

Political Regime
- Following its independence from Great Britain in 1959, Singapore joined with ... Malaysia, but was subsequently expelled in 1965, forming the city-state of Sing... **political and economic uncertainty** (1 mention) and may have been one of the... a developmental state model.

Housing & Community Amenities
The colonial administration paid little attention to the need for low-cost housing. As a c...
shortages in housing supply during colonial rule (1 mention)

Social Dynamics
- Singapore had a fairly **homogenous population** (1 mention) with people of Ch... proportion of the population.

Others
- Some authors suggest that colonial rule influenced **Singapore's urbanisation and city...** colonial rule helped to engender an openness towards globalisation, setting the scen... the global economy.

4. Was there a specific event or trigger that influenced Singapore's decision to become... as a developmental state?

Political Regime
- *Breakaway from Malaysia in 1965 may have triggered political and economic u... Singapore to become a developmental state.*

5. What was the policy mix adopted as part of becoming a developmental state and ho... time?

General Public Services

RWANDA

RWANDA	Evidence codes
1. What are the most common terms used, and why (if applicable)	2. For which period is the country referred to as a developmental state?
Developmental state	*Post genocide in 1994, Rwanda government took an active role in rebuilding the country and directing development.*

3. Overall, what conditions promoted Rwanda to aspire to become a developmental state?

Economic affairs
- ***Ethic violence between Hutu and Tutsi as a result class divide and income inequality (7 mentions):*** *Ethnic division were enforced by the Germans and Belgian. The division between ethnicities continued post-independence in 1973 when Habyarimana took power through a military coup. Rwanda experienced was of ethnic violence through the 1970s culminating in genocide in 1994.*
- ***Increased dependence on agriculture [2 mentions].*** *Traditionally, Tutsi were the land-owners and cattle-farmers whereas Hutus were largely seen as peasant farmers. As a result, an international drop in the price of the two main cash crops (coffee and tea) between 1985 and 1992 exacerbated income inequality and ultimately led to the genocide.*

4. Was there a specific event or trigger that influenced Rwanda's decision to become a developmental state or its trajectory as a developmental state?

Political Regime
- *Genocide in 1994*

5. What was the policy mix adopted as part of becoming a developmental state and how have these policies changed over time?

General public services
Executive and legislative organs, financial and fiscal affairs, external affairs:
Ownership of state-owned enterprises: *The Government of Rwanda has used* **State Owned Companies and party-statals to achieve developmental objectives** *(4 mentions). These companies, traditionally run by the politically connected elite, have invested heavily in infrastructure (roads, telecommunication) and a myriad of other industries. They are mandated to achieve certain developmental objectives on behalf of the state.*
- *Although these companies pursue developmental goals, they are also vehicles for* **the political elite to accumulate wealth** *(2 mentions). Some authors note that the close relationship between the party-statals and the state reflects a form of state capture and* **corruption***. Nevertheless, there is a view within the literature that the ruling elite and corruption are kept in check by the insecurity of the government's position. Forced to pursue developmental objectives to maintain political stability within Rwanda, the literature suggests* **that economic development creates legitimacy for the ruling elite** *amongst the citizenry.*
- *State-owned companies and party-statals are resourced with* **skilled and experienced leaders.**

Political regime/economy: *Although, the Government of Rwanda is an authoritarian regime, it has adopted a* **"good enough**

3. MPAT = Management Performance Assessment Tool

	1.1.1 Strat Plans	1.1.2 APP	1.3.1 M&E	2.1.1 SDIP	2.10 .1 PAIA	2.2.1 Mgt Struct	2.3.2 Audit Comm	2.4.1 Prof Ethics	2.4.2 Fraud Prev	2.5.1 Interl Audit	2.6.1 Risk Mgt	2.7.1 Deleg's: PSA	2.7.2 Deleg's: PFMA	3.1.1 HR Planning	3.1.2 Org Design	3.1.3 HR Dev Plan	3.2.1 Pay Sheet Cert	3.2.2 Recr & Reten	3.2.4 Mgt Diversity	3.2.5: Health & Wellness	3.3.1 1-12 PMDS	3.3.2 SMS PMDS	3.3.3 PMDS HOD	3.4.2 Discipl Cases	4.1.1 Demand Mgt	4.1.2 Acquisition Mgt	4.1.3 Logistics Mgt	4.1.4 Disposal Mgt	4.2.1 Cash Flow	4.2.2 Paym't of Suppl	4.2.3 Unauthorised, etc
ND Trade & Ind																															
ND Science and Tech																															
ND PM&E																															
ND Enviro																															
ND Min Res																															
ND GCIS																															
ND Tourism																															
ND Energy																															
ND Presidency																															
ND Police																															
ND B Educ																															
ND Justice																															
ND PSC																															
ND Health																															
ND Treasury																															
ND PALAMA																															
ND Transp																															
ND Statis SA																															

Levels of assessment

Level	Description
Level 1	Non-compliance with legal/regulatory requirements
Level 2	Partial compliance with legal/regulatory requirements
Level 3	Full compliance with legal/regulatory requirements
Level 4	Full compliance and doing things smartly

MPAT Case studies – Organizational effectiveness (cont)

KPA 1: STRATEGIC MANAGEMENT

| 1.3.1 Monitoring & evaluation | National Department: Trade & Industry |
| | Eastern Cape: Economic Development, Environmental Affairs and Tourism (DEDEAT) |

KPA 2: GOVERNANCE & ACCOUNTABILITY

2.1.1 Service delivery improvement	National Department: Home
	Eastern Cape: Rural Develop
2.6.1 Risk	National Department: Minera
	North West: Agriculture
2.4.2 Fraud	National Department: Minera
	North West: Agriculture

KPA 3: HUMAN RESOURCE MANAGEMENT

3.1.2 Organisational development	National Department: Energy
	Northern Cape: Social Devel
3.2.2 Recruitment & retention	National Department: GCIS
	Northern Cape: Roads & Pub
3.4.2 Disciplinary process	National Department: Minera
	KwaZulu Natal: Department
	Development and Tourism

Summary

In round 1.3 of the MPAT assessments, the Department of Trade and Industry (the dti) registered a solid upward trend with regard to the overall Key Performance Area of Strategic Management. Its ability to meet the requirements of the 4th level on the Monitoring and Evaluation standard warrants a closer look at praxis, structure, systems and culture in the department that allowed it to register this achievement.

The dti has developed its M&E system over a number of years, taking its cue from policy-frameworks emanating from the centre for government. It customised these frameworks to provide for its own complex organisational structure which is split between 8 divisions in the department and 14 public entities that it supports. Their chosen M&E system contains strong elements of decentralisation to the programme and implementation agencies and divisions, while maintaining a very effective co-ordinating capability at the core of the department, in the Office of the Director General. Because of their attention to matters of integration and alignment across various management systems and day-to-day management activity as well as a deep commitment to capacity development, the dti is in the process of developing a strong culture of "evaluative thinking" across all layers of the organisation, moving M&E thinking to the core of management activity, and getting over the hurdle of a perception that M&E is the reserve and sole responsibility of a small group of technically/ methodologically focussed people, detached from the mainstream day-to-day operational responsibilities of policy making and implementing them through creative programmes and projects.

Taking (i) effective leadership and management; (ii) a learning culture that is striving towards achieving both operational and intellectual excellence; and (iii) excellent internal organisational communications as points of departure, the dti has come up with a number of innovations with respect to institutionalising M&E across the department and the relevant entities. The four notable ones that receive attention in this case study is (a) the publication of its Standard Operating Procedures (SOPS) for Planning and Reporting, ensuring standardisation across the dti family re matters related to strategic management and reporting; (b) its internal rating system that connects the discussion re organisational performance with that of individual performance; (c) the assessments and guidance provided by the Strategy Unit to guide the Operations Committee re realisation of strategy, adaptation to be made as well as lessons to be learnt; and finally (d) its multi-year Evaluation Plan, that allowed it to be one of the early departments out of the blocks when the National Evaluations Plan became a reality.

Context and background

The Department of Trade and Industry (the dti) is a critical player in achieving South Africa's objectives with respect to economic growth and job creation. It is concerned with transforming the economy into a dynamic and globally competitive one, working towards creating an investment environment, inter alia through industrial development, that is attractive from an economic perspective, whilst simultaneously encouraging the broadening of economic participation across different population groups and segments in our society, and a more egalitarian spread of the spoils of such economic growth. As such the dti is geared towards supporting the Minister for Trade and Industry whose delivery and performance agreement relates to Outcome 4 (Decent employment through inclusive growth) in terms of the Government's Programme of Action. The dti has lead department status for sub-output 2.3 Sector strategies to support growth of labour intensive industries; sub-output 4.1 Support for exports and import competing sectors; sub-output 4.2 Increased share of World Trade; as well as sub-output 6.1 Reduced constraints and improved support to SMMEs and Co-ops in the Programme of Action.

The dti is responsible for administrating 45 bodies of diverse legislation, including the Broad-Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003); the Companies Act, 2008 (Act No. 71 of 2008); the Copyright Act, 1978 (Act No. 98 of 1978), Consumer Protection Act, 2008 (Act No. 68 of 2008); the Liquor Act, 2003 (Act No. 59 of 2003) and the Lotteries Act, 1997 (Act No. 57 of 1997) to mention but a few by way of example.

Much of the work of the dti is done through the running of incentive schemes, e.g. the 12i Tax Incentive, which aims to support investment in manufacturing assets to improve the productivity of the South African manufacturing sector. This scheme alone approved 12 projects to the value of projected investments worth R10.2 billion during the 2012/13 financial year. Likewise, investment worth R1.3 billion was secured from the Business Process Services (BPS) Incentive Programme and 4 500 jobs created through this vehicle. These incentive schemes are responsible for the bulk of the financial expenditure of the department and as such attracts significant attention from oversight bodies such as the Office of the Auditor General and Parliament and specifically the Portfolio Committee for Trade and Industry. The need for proper information to use in these accountability processes has therefore been long established, and the utility of information for decision-making is equally well appreciated.
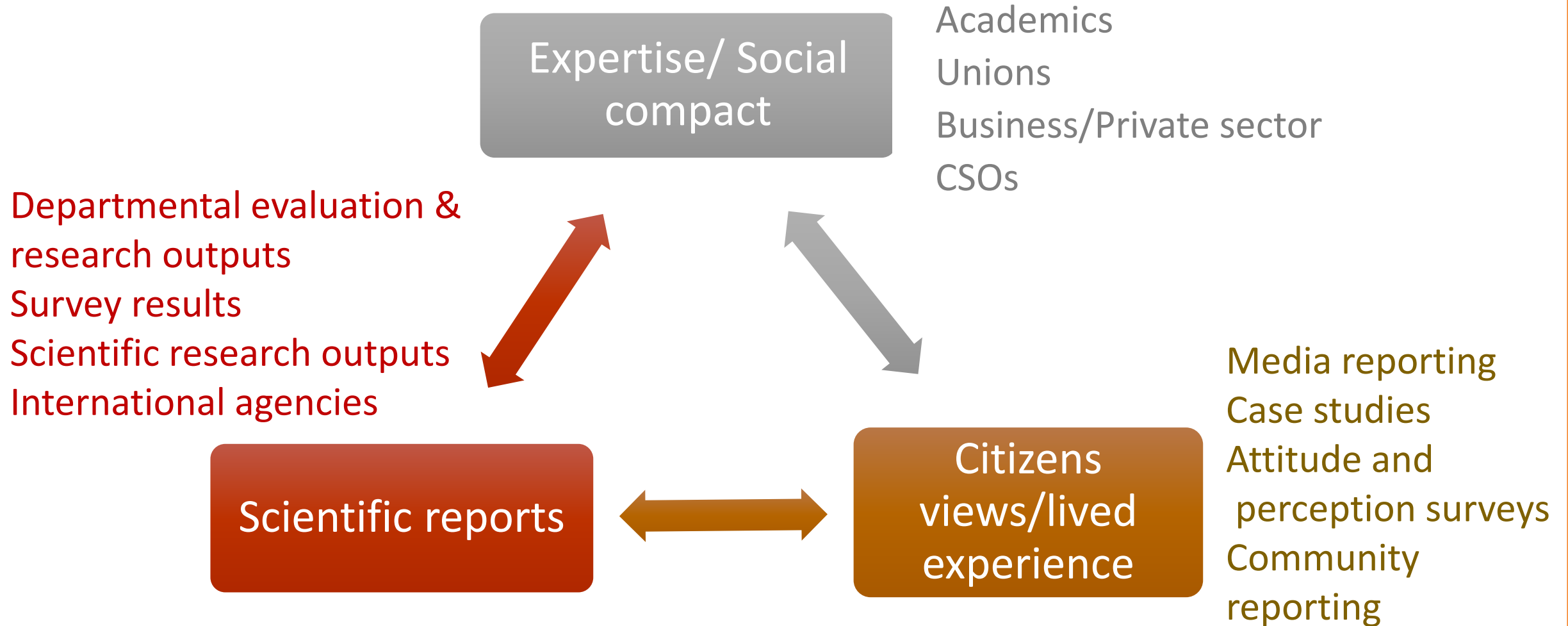
Description of the department and process

Due to its wide remit, the dti is structurally complex. It is organised in eight divisions, and supports 14 public entities. To ensure workability in this complexity its philosophy is one of decentralisation with strong integration capability at the centre of the department. The Group Chief Operating Officer (GCOO) and the various strategy and reporting units situated in her office is a critical part of this integrative capacity.

The dti sets high store at capacity development. This orientation is guided by their Mission Statement in which they set out to "continually improve the skills and capabilities" of the department in order to "effectively deliver on its mandate". The promotion of a "professional, ethical, dynamic, competitive and customer-focused working environment" is elevated to one of the department's strategic objectives. During the medium-term period covered in this particular reporting cycle "ensuring strengthened leadership and capacitating the department" has been one of the dti's key focal areas. With a staff retention rate of 94%, and no recent changes at the helm, the dti can be deemed a stable department, with considerable organisational memory and maturity. The organisation has developed a reputation of being an employer of choice in the public sector. As such it attracts high calibre applications and it is able to keep its vacancy rate down to about 8%, notwithstanding the relative small pool in which it is hunting for undersupplied skills, and where it competes in many instances with the private sector for those skills.

The dti has recently revised the organisational values it wants to inculcate. Previously the emphasis was on "delivery", "trust" (and respect) and "integrity". Deeming that they have adequately internalised those, the bar has now been raised to focus on "Operational excellence", "intellectual excellence" and "quality relationships" as key values to be pursued. Terminology used quite widely to describe the culture of the organisation include: learning organisation; continuous improvement; information rich; results-driven; compliant; innovative; and embracing of change/flexible. With qualities in its organisational culture such as these, the dti is no stranger in raking in the awards: Best government department for setting up new systems to improve service delivery; best help desk; best internship programme, etc.
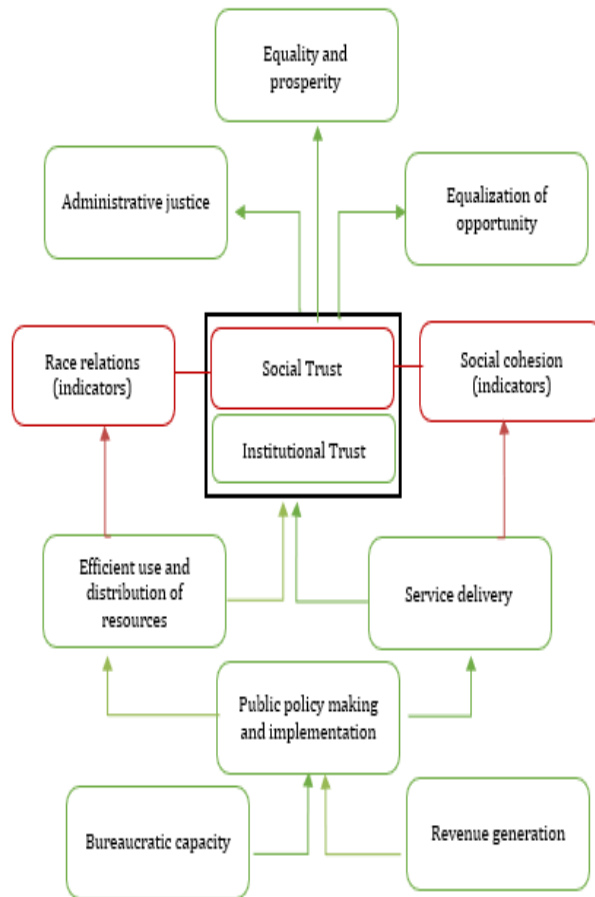
These features obviously serve the department well in terms of scoring well in the MPAT process, a process that has compliance at its core, and is premised on a learning and continual improvement approach. It is the improvement that the dti has shown since the previous cycle in terms of the

4. Triangulation and validation – local cases studies for contextualization

Expertise/ Social compact

Academics
Unions
Business/Private sector
CSOs

Departmental evaluation & research outputs
Survey results
Scientific research outputs
International agencies

Scientific reports

Citizens views/lived experience

Media reporting
Case studies
Attitude and perception surveys
Community reporting

5. Facilitated dialogue, deep thinking and engagement with evidence
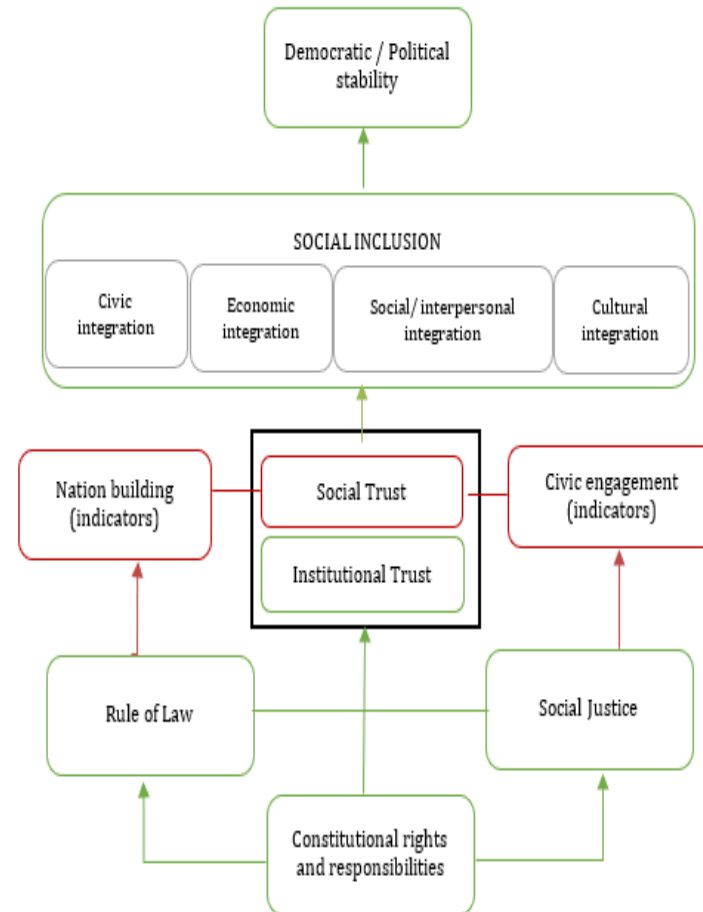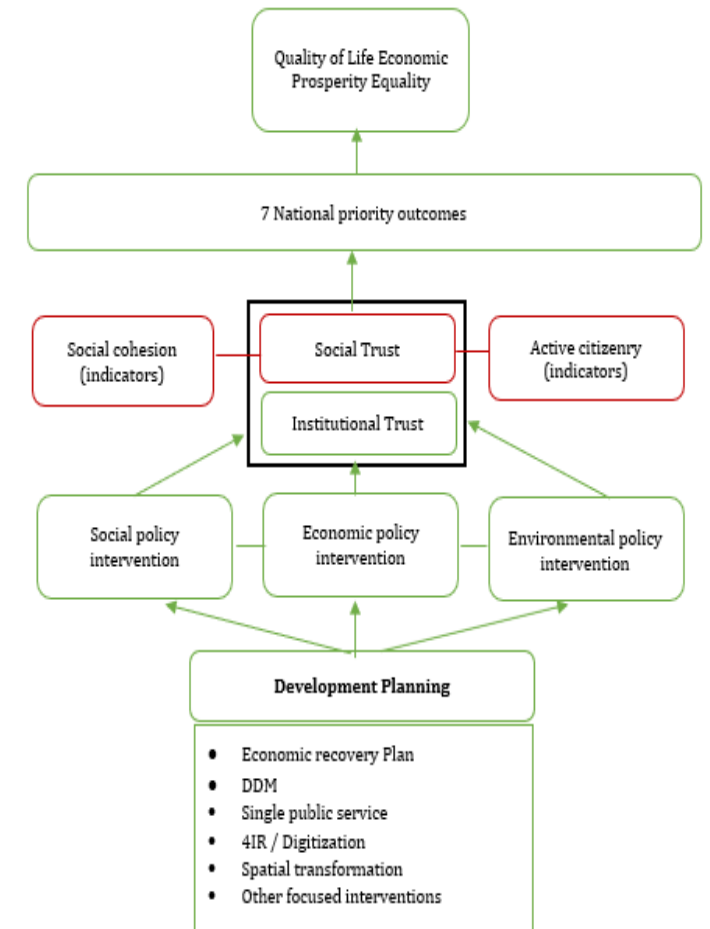
Reflection - Theory of Change (Results Based Management)

INPUTS	→	ACTIVITIES	→	OUTPUTS	→	OUTCOMES	→	FINAL OUTCOMES
Financial, human, and other resources mobilized to support activities.		Actions taken or work performed to convert inputs into specific outputs.		Products resulting from converting inputs into tangible outputs.		Use of outputs by targeted population.		The final objective of the programme. ——— Long-term goals.
Budgets, staffing and other available resources.		Series of activities undertaken to produce goods and services.		Goods and services produced and delivered, under the control of the implementing agency.		Not fully under control of the implementing agency.		Changes in outcomes with multiple drivers.

Implementation (SUPPLY SIDE)   Results (DEMAND+SUPPLY)

Socio Economic Impact Assessment System (SEIAS)

6 step policy process	Evidence type
1. The **decision to develop (or amend) policies**, regulations or legislations in order to address an identified social or economic problem	Contextual analysis ; Diagnostic evidence; Monitoring evidence (*incl. administrative data e.g. crime and health statistics*); Quantitative evidence *(e.g. Surveys, Statistical Publications by Stats SA);* Qualitative research *(e.g. interviews, focus groups);* Evaluation evidence; Stakeholder positions on the policy
2. An **initial assessment** involving: ▪ Problem identification and root cause analysis ▪ Identification of options for addressing the problem ▪ Rough evaluation of the costs and benefits of each option for different social/economic groups	Forecasting; Diagnostic research evidence; Diagnostic evaluation; program theory; Program Planning; Cost benefit / economic analysis; Standard costing model; Outcome mapping on different target groups
3. **Agreement on the basic option** and finalization of the draft policy initiatives, regulations or legislation in a process that includes consultations and a continual review of the impact assessment as the proposals evolve	Resource planning; Stakeholder consultations; Monitoring and evaluation evidence; International case studies; Diagnostic research evidence

Socio Economic Impact Assessment System (SEIAS)

6 step policy process	Evidence type
4. Development of **final impact assessment** that provides a detailed evaluation of the likely effects of the legislation in terms of implementation and compliance costs as well as the anticipated outcomes	Monitoring evidence *(incl. administrative data);* Trend analysis; Cost benefit analysis; Impact evaluations; Intra/inter-departmental and agencies inputs
5. **Publication** of the draft policy initiatives, regulation or legislation for public comment and consultation with stakeholders	Stakeholder consultations; Citizens views
6. Revision of the draft and **final assessment** based on comments from public, stakeholders – for approval	Political and stakeholder positions

Shape of technical support

(Co)Production → **Management** → **Translation**

Knowledge governance

Evidence bases = body of knowledge

Relevance for policy and practice

Persistent public sector research challenges

CHALLENGE	OUTCOME
Public officials not recognized as knowledge producers	Public sector (in)capacity
Culture of outsourcing in SA public sector without engagement with knowledge production process	Disengagement from production process
Silos and mandates as turf battles	Incoordination, poor integration & alignment
Growing demand from policy champions for reliable, timely and quality evidence/knowledge	Demand side evidence needs is growing
Accountability challenges; stakeholder engagement; consensus building	Accountability, responsiveness, inclusivity
Value for money of contracted work not sufficient/efficient	Publically funded research not regulated

Reflection on broader context

Transactional | **Transformational**

Supply

- Evidence as public good not considered
- Co-option
- No direct link between evidence and policy impact

Knowledge broker

Demand

- Restricted access
- Absorptive capacity
- Policy process is inherently political

STRATEGIC

- Policy advise/advisory body
- Coproduction = collaborative partnerships
- Planning across Government must take into account lived realities
- M&E not currently approached as a strategic source of evidence
- Public sector knowledge management

TECHNICAL

- Research infrastructure for public officials: repositories with curated knowledge resources generated for public sector
- Evidence synthesis methodology

DANKIE **KE A LEBOGA**
NGIYABONGA
NDIYABULELA
INKOMU NDI KHOU LIVHUHA

Thank you