



# FROM PRECARIOUS SETTLEMENTS TO DIGNIFIED COMMUNITIES

## Draft Monitoring and Evaluation Framework for the Western Cape Informal Settlement Strategic Framework (ISSF)

**Final**  
September 2016



in partnership with



## TABLE OF CONTENTS

<b>1</b>	<b>Purpose and approach</b>	<b>2</b>
<b>2</b>	<b>Summary programme theory</b>	<b>2</b>
<b>3</b>	<b>Monitoring</b>	<b>3</b>
<b>3.1</b>	<b>Introduction</b>	<b>3</b>
<b>3.2</b>	<b>Process monitoring</b>	<b>3</b>
<b>3.3</b>	<b>Outcomes monitoring: Monitoring Matrix</b>	<b>3</b>
3.3.1	Monitoring matrix roles and responsibilities	9
3.3.2	Ensuring data sharing is effective	10
3.3.3	Data gaps	10
<b>4</b>	<b>Evaluation Framework</b>	<b>11</b>
<b>4.1</b>	<b>Value of evaluation for the ISSF</b>	<b>11</b>
<b>4.2</b>	<b>Approach</b>	<b>11</b>
4.2.1	Evaluation types	11
4.2.2	Evaluation scope	12
<b>4.3</b>	<b>Partnership approach</b>	<b>12</b>
<b>4.4</b>	<b>Potential evaluation types for ISSF</b>	<b>12</b>
<b>5</b>	<b>Appendix</b>	<b>16</b>
<b>5.1</b>	<b>Process monitoring tool</b>	<b>16</b>
5.1.1	Process monitoring summary report	17
5.1.2	Strategy implementation rating tool	18
<b>5.2</b>	<b>Data use monitoring tool</b>	<b>20</b>
<b>5.3</b>	<b>Matching the ISSF to elements of a Programme Theory</b>	<b>21</b>
<b>5.4</b>	<b>Literature scan: M&amp;E of Informal Settlement Support and Upgrading</b>	<b>23</b>
<b>5.5</b>	<b>References</b>	<b>25</b>

## 1 PURPOSE AND APPROACH

This M&E framework is intended to guide the provincial government partners implementing the Informal Settlements Strategic Framework (ISSF), in developing an M&E plan with sub-projects, tasks and schedules.

**Support for an integrated approach to planning, monitoring and evaluation.** Instead of proposing that the ISSF have its own silo M&E processes, this M&E framework is built on joint planning, monitoring and evaluation processes already underway and aims to reinforce the strong move towards integrated planning and M&E in provincial government. It supports channelling of resources towards existing tools and mechanisms as far as possible.

**Enabling strategic use of M&E results.** If applied effectively, the M&E framework should allow stakeholders to assess progress towards the fulfilment of the ISSF's strategic objectives. This will enable:

- Informed decision-making, course-correction and learning
- Accountability (positive and negative consequences in line with performance)

For this to be possible, the right stakeholders need to engage with the results at the right time. As per this M&E framework, the Department of Human Settlements will monitor progress with the implementation of the planned activities on a quarterly basis. Additionally, DHS, as custodian of the ISSF, will ensure that those conducting relevant M&E do strategically share their results with others as needed.

**Monitoring and evaluation across the results chain.** It is good practice to monitor and evaluate not only what is within the operational control of those implementing a strategy, but also outcomes and impacts which the implementer seeks to cause, influence or contribute to. It is also important to understand changes in the context and factors external to the strategy that may affect it. This M&E framework proposes that the monitoring activities focus on operational monitoring and monitoring of settlement-level outcomes, while evaluations are used to assess the ISSF's performance across the full results chain.

## 2 SUMMARY PROGRAMME THEORY

National and Provincial government have adopted a programme-based approach to monitoring and evaluation.<sup>1</sup> This approach involves the formulation of a programme theory (also referred to as a logic model or theory of change) as part of the planning of an intervention.

The ISSF has been deliberately developed with the use of M&E terminology, so that the programme theory is made clear. It can be summarised<sup>2</sup> as follows:

*If provincial actors implement the **provincial actions** (with partners as appropriate) then it should lead to the **intended municipal-level outcomes**. If these outcomes are achieved at municipal level, then municipal-level actors will implement the **municipal actions** (with partners as appropriate) which should lead to the intended **settlement-level outcomes**.*

## 3 MONITORING

### 3.1 Introduction

Two types of monitoring are proposed:

- **Process monitoring** of implementation of the framework. The focus is on whether provincial actors implemented the actions agreed on as per the ISSF, and where possible ascertaining whether these actions led to the envisioned municipal outcomes. Data is operational in nature.
- **Outcomes monitoring** at the settlement level. This is about understanding the context within which the ISSF is implemented, and trends in terms of settlement outcomes of interest to decision makers.

### 3.2 Process monitoring

Process monitoring can be used to create a quarterly snapshot of progress in implementing the ISSF.

The appendix includes a simple, resource-light mechanism for this purpose. It uses what information is available to the team and requires approx. 150 minutes (10 minutes for each of the 15 strategies) to compile. It can enable the DHS team responsible for driving implementation of the ISSF to reflect among themselves on the progress that provincial departments have made in the last quarter. It also serves as an opportunity for record keeping with respect to implementation, which may support later implementation or impact evaluation of the Strategic Framework.

Based on internal discussion of the process monitoring report, the team may decide whether specific issues should be escalated, or addressed with the larger set of provincial government stakeholders.

### 3.3 Outcomes monitoring: Monitoring Matrix

The following pages include a monitoring matrix with *proposed* datasets that can be used to monitor outcomes related to each of the strategies.

Data for monitoring settlement-level outcomes						
Strategic Objective 1: Upgrade settlements through access to land, services, public infrastructure and incremental housing opportunities						
Strategy	1. Prioritise emergency and basic services provision		2. Strengthen planning for neighbourhood development		3. Unlock public and private land assets that are suitable for development and serving the livelihood needs of the community	
Settlement-level outcome	Improved access to basic services, to lower service ratios	Innovative models of servicing are observed	Improved community participation and cooperation around municipal planning	Improved (access to) public space and infrastructure in informal settlements	More settlements are regularised in situ.	Municipalities earmark well located land in established neighbourhoods available for new settlement formation informed by community priorities
Existing data sources	<p><b>Rapid appraisal<sup>1</sup></b>  Sanitation service ratio (only working); shortfall (as calculated in standardised table); water service ratio (only working); shortfall  Storm water D2B  Waste management D24;  Health access distances E5D and E6D;  Education access distances E2D; E3D; E4D  Fire engine response time D36  Ambulance response time D34</p> <p><b>Municipal Spatial Information Profile (MSIP)</b> - Level of satisfaction with service  <b>Census</b> - % households with access to services  <b>General Household Survey (GHS)</b> - % households with access to services</p>	<p><b>MSIP</b>  % of households with alternative appropriate technology</p>	<p><b>Rapid Appraisal</b>  % of recent major settlement upgrading projects that featured community participation in planning or rolling out (G10B, G11B, G12B)  G7 Community rating of relationship with municipality  G1 characterisation of community leadership</p>	<p><b>Rapid Appraisal</b>  C9 - Settlements experiencing high density; waterborne diseases; poor street network; waterlogging  D31 Access roads  D33 Road network planned</p> <p><b>MSIP</b>  Data on satisfaction with / use of communal spaces</p>	<p><b>Rapid Appraisal</b>  C3 Zoning of settlement land</p>	<p><b>General Household Survey</b>  % of disposable income spent on accessing income earning opportunities / transport</p>
Future data sources			<p><b>DHS housing pipeline data</b>  The housing pipeline prefeasibility report (section on sustainability criteria) could be modified to include indicators on community participation in planned projects.  Housing pipeline is being administered by DHS already. No steps taken yet to modify it.</p> <p><b>UISP expenditure</b>  Indication of whether a proportion of funds was spent on intermediaries/facilitators</p>	<p><b>Department of Health</b>  Facility-level data on health issues linked to physical environment.</p>	<p><b>EGAP / Differentiated model (Dept of Local Government).</b>  This tool will be used to survey municipalities on status of informal settlements, potentially including disaggregated data on tenure. The survey questions still need to be designed. Ongoing engagement with DLG to secure a survey slot of the standardised data fields.</p>	<p><b>DHS housing pipeline data on planned developments</b>  Consider creating indexes out of existing pipeline data (section on sustainability criteria) to analyse extent to which municipalities promote densification, level of integration and inclusivity</p>
Lessons can be	RSEP project - recording socio-econ &					

<sup>1</sup> Rapid appraisal indicator numbers are provided to facilitate cross-referencing.

<b>learned from:</b>	socio-demographic indicators at enumeration area and ward level. Resource-intensive and might not be scalable but consider a statistically representative sample of settlements.					
<b>Future evaluations should consider:</b>				Comparing settlement facilities to CSIR Facilities Planning norms and standards – at baseline and follow-up		Evaluating the consultation that takes place in development of IDP / <b>SDF Spatial Development Frameworks</b> (SDFs) and <b>IDPs</b> can be analysed for the extent to which Infrastructure and Growth Plans have been incorporated

<b>Strategic Objective 1: Upgrade settlements through access to land, services, public infrastructure and incremental housing opportunities (cont.)</b>						
<b>Strategy</b>	<b>4. Enable alternative forms of tenure security</b>	<b>5. Resettle people selectively with appropriate choices within a municipal wide development framework</b>			<b>6. Support incremental and affordable housing opportunities for people living in informal settlements</b>	
<b>Settlement-level outcome</b>	<b>More residents of informal settlements have tenure security</b>	<b>Decision-making around resettlement is transparent and consistent</b>	<b>(Because of transparent and consistent decision-making around resettlement), fewer relocations</b>	<b>Relocations minimise negative impact on social networks</b>	<b>More municipalities choose incremental upgrading instead of resorting to greenfield development</b>	<b>Improved shelter conditions through self-build and relevant support programmes</b>
<b>Existing data sources</b>		<b>Rapid Appraisal</b> C5D Settlements ever slated for resettlement; C5A Reason for resettlement (standardised) <b>NUSP categories</b> Calculation of % of all settlements in a municipality classified as Category C settlements and benchmarked against each other	<b>Rapid Appraisal</b> C5D Settlements slated for resettlement; C5B Settlements in which at least some people were relocated  <b>NUSP categories</b> Settlements classified C (needing resettlement) as opposed to A, B1 and B2		<b>DHS Housing Pipeline</b> Ratio of greenfields vs brownfields development	<b>Census 2001, 2011, 2021, 2031</b> Structure materials, disaggregated by type of settlement <b>GHS</b> Structure materials, disaggregated by type of settlement
<b>Future data sources</b>	<b>EGAP municipal data</b> Forms of tenure in informal settlements (disaggregated by tenure type)	<b>DHS housing pipeline data</b> Prefeasibility report could be modified to include detail on how resettlement was decided & consulted on				
<b>Lessons can be learned from:</b>	Violence prevention through urban upgrading (VPUU) perception survey M&E process.					
<b>Future evaluations should consider:</b>	Records of alternative forms of tenure security issued to upgraded settlements Consider baseline and follow-up perception/satisfaction survey with questions on perceived level of access to tenure security	A review of IDP process plans (including SDF) Extent to which consultation with stakeholders has been accommodated in IDP processes		Review of IDP and SDF plans: Extent to which municipalities include Human Settlements Planning as core component of IDP/SDF		Collect data on other characteristics of homes such as structural integrity and thermal performance.

Strategic Objective 2: Enhanced quality of life and active citizenship							
Strategy	7. Support local entrepreneurship and livelihood strategies		8. Promote holistic human development with a focus on youth development and social cohesion		9. Support and enhance citizen capability in planning, decision making, implementation and monitoring	10. Shift mindsets in government and society towards recognising community agency and civic responsibility	
Settlement-level outcome	Increased and strengthened local construction enterprises.	Improved livelihoods as a result of neighbourhood development.	Informal settlements and surrounding neighbourhoods become safer (reduced crime) and there are reduced incidents of gender-based violence, xenophobia and racism as a result of neighbourhood development.	Improved access to quality social services and facilities	Thriving neighbourhoods are established through active community involvement	Communities more often participate in and/or initiate ISU / neighbourhood development initiatives	Participation in ISU / neighbourhood development becomes more meaningful and enduring
Existing data sources		Census Unemployment rates in informal settlements			<b>Rapid Appraisal</b> % of recent settlement upgrading major projects that featured community participation in planning or rolling out (G10B, G11B, G12B)	<b>Rapid Appraisal</b> G7 Community rating of relationship with municipality G1 characterisation of community leadership	<b>Rapid Appraisal</b> G7 Community rating of relationship with municipality G10D, G11D, G12D - effect of community participation in upgrading G7 - none; G10D, G11D, G12D - high - would require coding qualitative data into standardised themes
Future data sources			CPF local crime stats				
Lessons can be learned from:		GPS 2013 VPUU's quality of life indicators Better living challenge	GPS 2013; VPUU - the methodology used by VPUU to assess perceptions of crime	VPUU quality of life indicators			
Future evaluations should consider:		Pre-and post-project mapping of informal economic enterprises (see methodology employed by Sustainable Livelihoods Foundation and others)		Joint initiative with SALGA (human development unit) to undertake baseline and mid-line data collection of human dev. indicators	As part of settlement development projects, conduct pre- and post-project enumeration to assess success in informing, consulting and involving community members  Trends in vandalism/destruction of public property as an indicator of community ownership	Consider pre- and post-assessment of the specific settlements where community training has been implemented  Identify incidences of community initiatives to address communal issues	Municipal customer satisfaction survey data on citizens' relationship with municipality

<b>Strategic Objective 3: Strengthened sector capability, governance and resources</b>					
<b>Strategy</b>	<b>11. Make adequate and appropriate financial resources available for informal settlement upgrading</b>	<b>12. Expand the role of micro-finance and community finance for housing consolidation</b>	<b>13. Initiate partnerships between public-private-NGOs and civil society organisations</b>	<b>14. Improve municipal capability for coordinating and implementing a programmatic approach to informal settlement upgrading</b>	<b>15. Enhance provincial capability for monitoring, oversight, technical guidance, learning and support.</b>
<b>Settlement-level outcome</b>	Various/all aspects of the upgrading process (including maintenance of infrastructure and facilities) are adequately funded resulting in lasting improvements in settlements	More residents of (previous) informal settlements make use of community or individual finance mechanisms to upgrade their own structures	Coordinated informal settlement planning, implementation and M&E between provincial, local government and other state institutions, private sector, NGOs and intermediary organisations	Improved relationships between informal settlement communities and municipalities as a result of (the actions of) better capacitated municipalities	Provincial government role players are better coordinated (i.e. better-aligned plans; more optimal use of resources) on work that benefit informal settlements
<b>Existing data sources</b>	<b>Rapid Appraisal</b> D23. Community perception of time to fix broken services <b>MSIP satisfaction index on municipal responsiveness?</b>	<b>National Income Dynamics Survey</b> (if provincially representative and disaggregated by settlement type) Recent improvements made to the home - from own funding and from government funding		<b>Rapid Appraisal</b> % of recent major settlement upgrading projects that featured community participation in planning or rolling out (G10B, G11B, G12B) <b>MSIP satisfaction index on municipal responsiveness?</b> <b>WCLG data on ward system</b> (would require some analysis) Indicators of functionality of the system e.g. IDP meetings held; budget meetings held	
<b>Future data sources</b>	Use of mobile technology for reporting and measuring response time to fix broken services		Consider adding indicators about partnerships to: <b>WCLG EGAP / Differentiation model</b> <b>MSIP</b>		
<b>Lessons can be learned from:</b>		Future: Better Living Challenge	VPUU's coordination outcomes if available	PSG 5 pilot project on public participation	PSG 5 workgroup 4 monitoring data on integration if available
<b>Future evaluations should consider:</b>	Review of SDIPs: level of responsiveness to integration/alignment.		(Better-aligned objectives & plans; more optimal use of resources; more sharing of information)		Consider two levels of evaluation: alignment of plans and alignment of operations

### **3.3.1 Monitoring matrix roles and responsibilities**

The DHS as custodian of the M&E framework will facilitate agreement on how and when the data listed in the Monitoring Matrix is shared. Data is shared between *data owners* and *data users* as described below.

#### **Data owners**

The following stakeholders “own” relevant data i.e. they collect it or commission its collection. Some stakeholders own not only raw data, but also information in the form of relevant research and reports. It is proposed that they make this data and information available to data users.

**All stakeholders responsible for implementing ISSF.** Each stakeholder responsible for a particular activity in the ISSF will have particular data and information on implementation of their own activities.

**Department of Human Settlements.** The Rapid Appraisal dataset; Housing Pipeline dataset; performance indicators as per APP.

**Department of Local Government.** EGAP database (currently being piloted) with data reported by municipalities across various topics; IDPs; reports on the ward system and public participation processes.

**Department of Environmental Affairs and Development Planning.** Municipal Spatial Information Profiling (MSIP) initiative.

**Department of Sports, Arts and Culture.** MOD (Mass participation, opportunity and access, development and growth) programme participation stats.

**Department of Health.** Facility-based data on health issues linked to shelter conditions and environmental factors, such as TB, gastro-intestinal disease etc.

**Department of the Premier.** BizBrain; Strategic Frameworks on Provincial-wide M&E and on Province-wide data governance; Spatial data observatory.

**Department of Social Development.** Population development data sourced from StatsSA (General Household Survey; Census etc).

**SA Labour and Development Research Unit (SALDRU),** University of Cape Town. National Income Dynamics Survey (recent waves can be disaggregated by province.)

It may be necessary to facilitate agreement between data owners and data users to facilitate agreement about which specific aspects of the data will be shared, with whom and in what format. This could potentially be done through the WCG data governance forum. The monitoring matrix and evaluation framework (see next sections) show what data is particularly relevant to which aspects of the ISSF and can serve as the basis for such agreement.

#### **Data users**

The ISSF provincial government stakeholders will need to use data and information to inform learning and accountability. Mere sharing of data will not be sufficient if data users have not

clearly articulated what they will do with the data. To this end, the general statements below need to be discussed, unpacked and agreed upon.

In general terms DHS has an interest in data and information pertaining to all aspects of the ISSF – from resourcing, to activities, outputs, outcomes and impacts as well as contextual factors. DHS should receive all monitoring data shared among parties in order to support any potential future evaluations.

Other provincial departments will have an interest in data and information pertaining to the continued relevance of their role with regard to the ISSF; the efficiency of their activities; the effectiveness of their efforts in producing the intended impacts in the sector; and the extent to which the ISSF actions and results influence their own mandates. Depending on their role, they will also have further specific data and information needs.

Municipalities will be key data users, interested in the progress being made in implementing provincial actions that may influence them, learning from other municipalities in terms of their responses to provincial actions, and for understanding and benchmarking their settlement-level trends and outcomes against others.

The broader set of stakeholders are also potential data users, i.e. the non-profit/civil society and private sectors, and citizens. There is usually a particularly strong interest in receiving results/feedback among stakeholders who are asked to participate in some aspect of an intervention (e.g. attend training or change their own plans) or who provide data through participation in surveys, interviews and focus groups.

### ***3.3.2 Ensuring data sharing is effective***

The proposed approach to data sharing assumes that no further data processing (collation, calculation, reformatting etc.) will be done by DHS; data owners and data users will need to do this themselves. There is therefore a risk that, if misunderstandings occur or if there is insufficient capacity to process the data into a form that is useful for the data user, then data sharing will not fully support the monitoring needs of stakeholders. To pick up any such issues, it is proposed that DHS administer a very brief questionnaire to the data user (or the stakeholder forum using the data) whenever data is shared. See appendix.

### ***3.3.3 Data gaps***

The monitoring matrix shows what data is available and makes it clear where data is currently *not* available or very partial. It also helps to identify areas where data is available, but not in the format that is useful to stakeholders for the ISSF, and areas where data is not collected frequently enough to be sufficiently up-to-date for the intended use. These occurrences, where stakeholders will not receive useful monitoring data regarding a particular outcome, can be called “data gaps”.

For each data gap, depending on stakeholders’ data needs, they may decide on one of the following courses of action:

- Agree that the data gap will not be filled, or
- Use a proxy indicator that is available, or
- Generate or obtain the data, or perform the necessary calculations to get it in a useable format or

- Outsource collection of the data, or
- Define the data sought and plan to include it in a future evaluation.

## 4 EVALUATION FRAMEWORK

### 4.1 Value of evaluation for the ISSF

Monitoring the implementation of the ISSF will give stakeholders a regular indication of progress against key results. But there are some strategies that will not be easily monitorable. Periodic evaluations will need to supplement these, providing the opportunity for periodic collection of results that are beyond the scope of regular monitoring.

Furthermore, evaluations will provide for deeper analysis of the ISSF itself. The ISSF has an underlying intervention logic which includes a particular understanding of the problem; a particular understanding of what is needed to address the problem and sector capacity; and a belief that implementing the strategies and activities will result in informal settlements that are liveable, integrated, vibrant and resilient neighbourhoods. Evaluations will be crucial in answering the more fundamental questions of whether the ISSP's design remains relevant, whether it is being implemented as planned and efficiently, and is having the intended impact.

### 4.2 Approach

#### 4.2.1 Evaluation types

The National Evaluation Policy Framework (NEPF) (DPME, 2011) lists 6 types of evaluation promoted in government. Five are shown in Figure 1 below; the sixth is an evaluation synthesis which brings together the findings of more than one evaluation on a particular programme/intervention. Realistically not all these types of evaluations will be conducted, rather a few types may be considered based on the needs, interests and capacities of stakeholders.

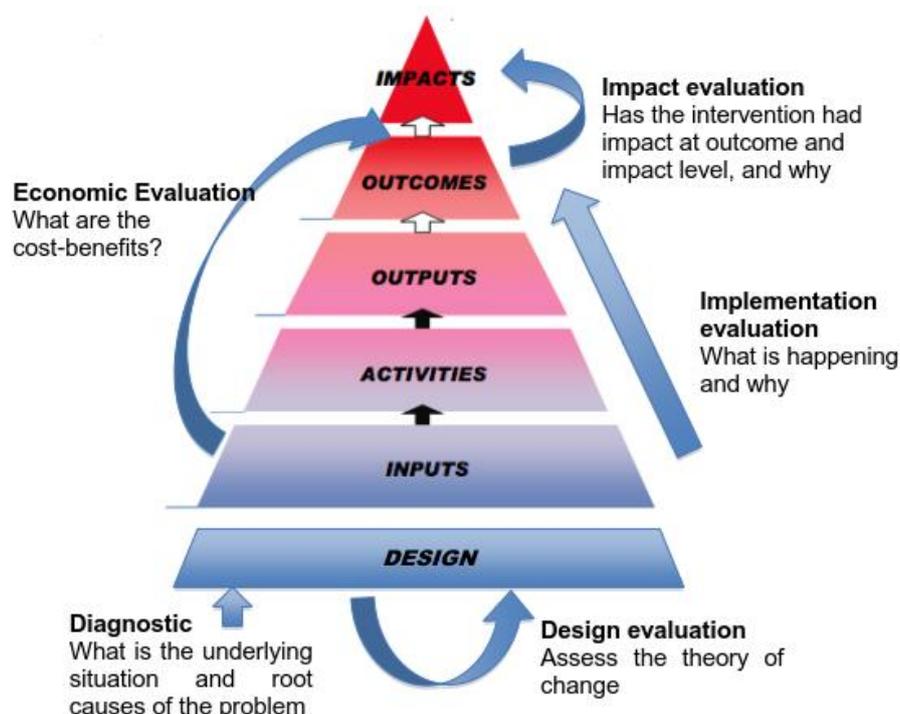


Figure 1. Types of evaluations (DPME, 2011)

### 4.2.2 Evaluation scope

The ISSF is deliberately broad and multi-faceted; and it addresses a complex set of challenges and opportunities. This may affect what is feasible in terms of the scope of any one evaluation. For instance, the expertise required to assess improved provision of basic services may be quite different from that required to assess the impact of community capacity building initiatives or the impact of infrastructure provision on a settlement’s economic activity. The data required and evaluation approach may also differ considerably.

It may therefore be valuable for stakeholders to identify specific sub-programmes, or clusters of strategies, and consider subjecting them to evaluation separately. For instance, it may be more affordable and feasible to conduct an evaluation only of the strategies associated with tenure policy and practice, or all those associated with municipal spatial development planning as pertains to informal settlements, than to call for wholesale evaluation of all the strategies. Another approach may be to delineate evaluations according to the three Strategic Objectives.

While subdividing the ISSF for evaluation may be beneficial in terms of scope, it would still be important to recognise that many of the strategies are interdependent. Therefore, even if the evaluation focuses on a subset of them, it would be necessary to articulate those interdependencies (perhaps as assumptions or inputs) and confirm whether they have held true.

Furthermore, if stakeholders consider such “subdivision”, it would be disadvantageous to delineate an evaluation topic (evaluand) so narrowly that it effectively focuses only on the work of DHS. The integrated approach to informal settlements should not remain unexamined given its centrality to the overall logic of this Strategic Framework.

### 4.3 Partnership approach

The NEPF stresses a partnership approach to evaluation, and this will be particularly relevant given the interdepartmental and inter-governmental nature of the ISSF. To promote clarity and agreement about the goals of the ISSF and to broaden the utility of the evaluation findings, any evaluation should ideally be conceptualised and overseen not just by one department or sphere, but by the broader partnership structure (steering committee or similar) that implements the ISSF.

### 4.4 Potential evaluation types for ISSF

*Table 1. Summary of potential types of evaluations for ISSF*

Potential evaluation type	Focus	Type of data collection	Timing
<i>Please note: These are options for consideration, not necessarily recommendations.</i>			
<b>Diagnostic Evaluation</b>	What is the current situation and root causes of the problem?	Quantitative data on settlement-level outcomes Qual. & quant. data on provincial institutional context and municipal	Within first year

		outcomes.	
<b>Design evaluation</b>	Is the ISSF logical and sound?	Secondary data	After the ISSF has been designed
<b>Implementation Evaluation</b>	What is happening and why?	Quantitative and Qualitative Also relies on existing monitoring data	After at least a few years of implementation
<b>Impact Evaluation</b>	Is the ISSF having an impact at settlement level, to what extent and why?	Quantitative and Qualitative	After at least a few years of implementation, and building on an implementation evaluation (or component)

One can argue that the development of the ISSF has, in itself, elements of a **diagnostic evaluation**. It was shaped by input papers noting the status quo as well as potential approaches to addressing it; the findings of the Rapid Appraisal; and broad consultation with experienced stakeholders. A formal diagnostic evaluation could “fill out” the information gathered through these activities by:

1. Consolidating *settlement-level* data from Rapid Appraisal, the City of Cape Town’s data, and NUSP data.
2. Establish a methodology for collecting *municipal-level* outcomes data, especially on those outcomes that are harder to measure.
3. Study and document the provincial / institutional <sup>2</sup>status quo in terms of the factors the ISSF seeks to change. (This would be a particularly valuable in laying a foundation for an implementation evaluation.)

A **design evaluation** subjects the overall ISSF to scrutiny to evaluate the theory of change, inner logic and consistency of the approach, the quality of indicators and assumptions. The NEPF recommends conducting such an evaluation using only secondary data, in the first year after an intervention has been designed. In addition to the ISSF itself and data on how implementation is progressing, the design evaluation would test the programme’s logic against what has proven effective in South Africa and beyond. A literature scan (see appendix) did not identify any comparable design evaluations already completed in South Africa, however there are lessons to be drawn from literature and evaluations that shed light on the appropriateness of some of the ISSF’s assumptions<sup>3</sup> and strategies.<sup>4</sup>

---

<sup>2</sup> The ISSF also seeks to affect other (national government, and non-governmental) stakeholders in terms of their capacity and approach to informal settlements, as well as their relationship with each other – their current capacities and relationships have also only partly been described.

For most of its strategies, the ISSF has a long “results chain”. In particular, the fact that there are two levels of actions and outcomes (first provincial, then municipal) creates risk for the strategy to be diluted, redirected, run up against unanticipated factors, or produce unexpected results. For this reason, an **implementation**<sup>5</sup> evaluation would be highly beneficial to understanding and accounting for ISSF success or failure.

An implementation evaluation would likely employ a process tracing approach, using qualitative and quantitative data to assess whether implementation took place and whether the envisioned results unfolded. If the proposed process monitoring tool (see appendix) is applied, it would assist in creating data on implementation over time. Regular use of the process monitoring tool would also hone the logic underpinning the strategy, which would be valuable for framing such an evaluation.

To assess whether coordination and cooperation among provincial government stakeholders was effective, as is required for many of the strategies, an implementation evaluation may specifically study the implementation mechanisms aimed at achieving this, e.g. joint performance management mechanisms; a provincial steering committee; a forum where provincial government engages municipalities; etc. Implementation mechanisms can be assessed in terms of their appropriateness to the strategy, their functionality, and effectiveness.

It is likely that an implementation evaluation would seek to go beyond provincial activities and outputs to study preliminary outcomes at municipal level. This would benefit from baseline data on municipal outcomes (e.g. as proposed above in the diagnostic evaluation). Municipal stakeholders are likely to be key sources of data illuminating how ISSF strategies have been received. Rather than a “shallow” sampling of a large representative set of municipalities, purposive sampling of a few diverse municipalities may assist in ensuring the evaluation can help to explain instances of both success and failure of provincial strategies.

An implementation evaluation would be appropriate after the ISSF has been implemented for a few years, and especially in preparation for a major planning process, such as a new provincial planning cycle. It would also be essential as preparation for an impact evaluation, as discussed below.

An **impact evaluation**<sup>6</sup> would focus on the extent to which the ISSF is actually proving effective in achieving its settlement-level outcomes, and more broadly, the impacts articulated in the wording of the three Strategic Objectives. A first prerequisite would be data on settlement-level outcomes. Potentially a follow-up Rapid Appraisal (see discussion of Diagnostic Evaluation above) could contribute to the needed data, but there are several settlement-level outcomes for which evaluation data collection strategies still need to be devised. The monitoring matrix identifies several other existing, high quality data sources on settlement-level outcomes. It also proposes some examples and approaches for consideration by those who would plan the settlement-level data collection.

An experimental or semi-experimental evaluation design (such as randomised controlled trial, RCT) is not feasible for the strategy as a whole since most of the strategies seek to affect the province as a whole. At best a small subset of strategies can be subjected to such an approach. Such an approach would require an impact evaluation that spans several years so that purpose-built baseline and endline surveys can be undertaken, including a comparison group.

The main impact evaluation methodology would most likely be contribution analysis.<sup>7</sup> A contribution analysis approach for the ISSF would use quantitative and qualitative data to study the process from the provincial actions to the observed settlement-level outcomes. It would also seek to disprove alternative explanations for what is observed.

The NEPF stresses that an impact evaluation should have an implementation evaluation component, so that it does not just show impact, but also explains how the intervention works and what is needed to make it work better. Again, considering the scope of the ISSF, it is likely to prove more feasible to separate the implementation and impact evaluations into two separate, consecutive projects and/or to focus the evaluation on a smaller sub-set of strategies.

## 5 APPENDIX

### 5.1 Process monitoring tool

This is a proposed desktop exercise to be undertaken quarterly, internally by a member of the DHS team responsible for driving the implementation of the Strategic Framework, and then to be tabled for discussion with the other DHS team members (or a transversal Work Group focused on implementation of the strategy). It is not intended as an objective assessment tool, but a framework for drawing together the information, feedback and results available to the DHS team and for reflecting on progress.

The proposed tool relies on an annual or quarterly plan agreed to among the provincial departments that have a role to play in implementing the Strategic Framework.

The tool requires that the designated DHS team member review information available to the team regarding provincial departments' implementation of the actions under each of the 15 strategies. Such information may be drawn from various sources including verbal reports, written reports, email correspondence, meetings with other provincial departments, etc. He/she would then complete the strategy implementation rating tool for each of the strategies (this should take no more than 10 minutes per strategy). Ratings would be copied to the 1-page summary report and tabled for discussion.

To support later review or evaluation, if there is capacity, a portfolio of evidence may be collected and attached to the report.

Note: the above proposed tool may be obsolete if the same purpose (periodic monitoring of progress on the strategy; generating a brief report that can be tabled for discussion; and collection of a portfolio of evidence) can rather be served by projectising ISSF on the BizProjects system.

### 5.1.1 Process monitoring summary report

Strategic Objective	Strategy	Implementation	Partnership Approach	Relevance
1	<b>1. Prioritise emergency and basic services</b>	<i>e.g. 1</i>	2	4
	<b>2. Strengthen planning for neighbourhood development</b>	2	3	3
	<b>3. Unlock public and private land assets that are suitable for development and serving the livelihood needs of the community</b>	<i>etc.</i>		
	<b>4. Enable alternative forms of tenure security</b>			
	<b>5. Resettle people selectively with appropriate choices within a municipal wide development framework</b>			
	<b>6. Support incremental and affordable housing opportunities for people living in informal settlements</b>			
2	<b>7. Support local entrepreneurship and livelihood strategies</b>			
	<b>8. Promote youth development and social cohesion</b>			
	<b>9. Support and enhance citizen capability in planning decision making, implementation and monitoring</b>			
	<b>10. Shift mindsets in government and society towards recognising community agency and civic responsibility</b>			
3	<b>11. Make adequate and appropriate financial resources available for informal settlement upgrading</b>			
	<b>12. Expand the role of micro-finance and community finance for housing consolidation</b>			
	<b>13. Initiate partnerships between public-private-NGOs and civil society organisations</b>			
	<b>14. Improve municipal capability for coordinating and implementing a programmatic approach to informal settlement upgrading</b>			
	<b>15. Enhance provincial capability for monitoring, oversight, technical guidance, learning and support.</b>			

### 5.1.2 Strategy implementation rating tool

One such a tool should be completed for each of the 15 strategies. Once the designated official has reviewed any information available to the team regarding the implementation of the planned actions, it should take no more than 10 minutes per strategy.

<b>Strategy:</b> <i>E.g. Strategy 1: Prioritise emergency and basic services provision</i>
<b>Summary of actions planned for this quarter, with explanation of how they were intended to further the goals of the strategy:</b> <i>This can be copied from the planning document that provincial departments agreed to at the start of the quarter/year. E.g.</i>
<ul style="list-style-type: none"> <li>• <i>DHS to propose service ratio targets at District Forum. This is a step towards setting in place agreed targets for municipalities, to promote prioritisation of service ratios in municipal IDPs.</i></li> <li>• <i>DEADP to conduct research on... in order to...</i></li> </ul>

<b>Implementation</b>	
Did provincial government implement the planned actions under this strategy?	
Rating ( <i>circle/tick</i> )	Standard
<b>1. Well implemented</b>	The planned actions under this strategy were all well implemented and appear effective. Based on performance, it is likely that the goals related to this strategy will be achieved this year.
<b>2. Implemented</b>	Most of the planned actions were implemented, with only insignificant delays. Achievement of goals for the year is on track.
<b>3. Partly implemented</b>	Only some of the planned actions were implemented, or there were significant delays. There is a risk that goals for this year will not be achieved.
<b>4. Not implemented / poorly implemented</b>	There was no action on the strategy, or the action was ineffective. It is unlikely that the goals for this year will be achieved without urgent changes.

<b>Partnership approach</b>	
Were the actions implemented with effective involvement of those whose cooperation is important for success?	
<b>1. Effective partnership</b>	For the vast majority of the implemented actions, the provincial department(s) implementing the actions succeeded in involving the identified strategic stakeholders as intended. Involvement was at the intended level e.g. information sharing, consultation, co-planning or co-implementation of the action. Stakeholders have clarity about and agreement with their role.
<b>2. Partnership</b>	Most of the implemented actions featured involvement of the identified strategic stakeholders, and mostly at the intended level of involvement. Most stakeholders have clarity about and agreement with their role, with only a few expressing ambivalence, reluctance or limitations that needs to be addressed.

<b>3. Insufficient partnership</b>	Only some of the implemented actions featured involvement of the identified strategic stakeholders, or several stakeholders were not involved at the intended level. Several stakeholders show a lack of clarity or agreement about their role.
<b>4. No partnership or problematic partnership</b>	The implemented actions were carried out without involvement of the identified strategic partners. There were no efforts or failed efforts to involve them.

<b>Relevance</b>	
Based on what we are learning, do we still think these actions are the most appropriate for achieving the goals of the strategy?	
<b>Highly relevant</b>	Recent information, feedback or results have underscored the appropriateness of the actions. For instance, there is some indication that the action is starting to promote the intended outcome, or is preventing a risk associated with this strategy
<b>Relevant</b>	Stakeholders still express agreement that this remains the appropriate course of action, even if no recent information, feedback or results affirm this.
<b>Partly relevant</b>	There is some doubt among stakeholders about the continued appropriateness of the action, or, some recent information, feedback or results have drawn it into question.
<b>Irrelevant</b>	Most stakeholders share the view that the action is no longer relevant, in light of recent information, feedback or results, or some other change in the context.

Comments on the ratings assigned:

## 5.2 Data use monitoring tool

DHS may use the results of this brief proposed survey to identify data sharing issues that DHS, as custodian of the Strategic Framework and M&E framework, needs to address.

Within 2 weeks after data is shared between a data owner and a data user, the DHS may ask the data user to complete the following brief survey. Once a particular data sharing arrangement becomes standardised, this survey might be administered less frequently.

<b>Type of data:</b>						
<b>Data received from (department):</b>						
<b>Data received by:</b>						
Criterion	Agreement – mark with x					Comment
	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	
<b>Relevance.</b> The potential usefulness of this kind of data is clear; it addresses a question that we need answered in order to plan, implement or report effectively on our own work.						
<b>Format.</b> The data is in such a format that we can analyse it to get the information we need from it.						
<b>Credibility.</b> While no data is perfect, we consider this data a sufficiently credible indication of the situation it is intended to measure, to be useable for our purposes.						
<b>Timeliness.</b> The information gives a recent enough picture of the situation, and is made available to us in time to inform our planning, implementation and reporting cycle.						
Do you plan to take any action to address any challenges regarding format, credibility, timeliness and relevance with the data owner?						

### 5.3 Matching the ISSF to elements of a Programme Theory

The National Evaluation Policy Framework (Presidency, 2007) proposes that M&E in the South African public sector be based on inputs, activities, outputs, outcomes and impacts as shown in the diagram below. It also proposes adding a “design” component as the base of the pyramid, which is the means by which the intervention/programme responds to the problem statement.

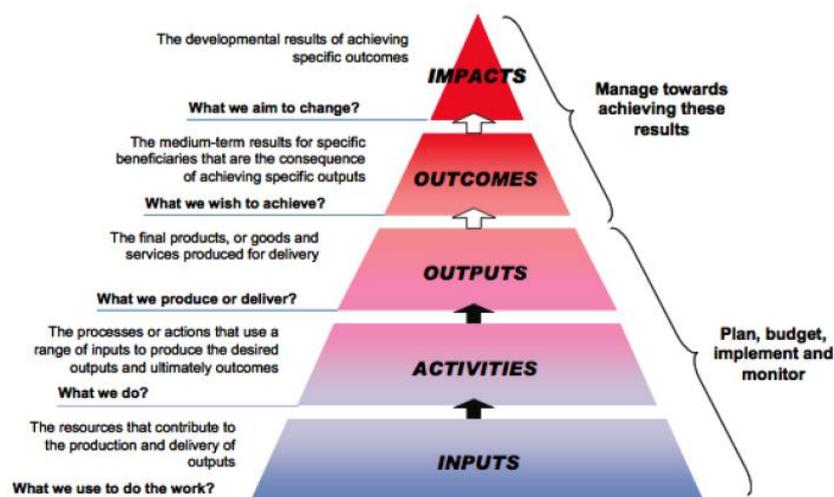


Figure 2. Results chain (Treasury, 2007)

For purposes of applying this M&E Framework it is useful to state how the ISSF articulates each of the components:

- The input papers developed as part of the process have framed specific aspects of the **problem statement** – the challenges and opportunities to which the ISSF responds. The Rapid Appraisal and various other sources have been taken into account as they describe further aspects of these challenges and opportunities.
- Some of the **assumptions** about the context within which the ISSF operates are articulated as part of the input papers and discussion of the Framework.
- One of the input papers specifically focused on one of the **inputs**, i.e. public finance, for the ISSF. Other aspects of the inputs and resources available for the ISSF are addressed throughout the document.
- The **activities** to be implemented are labelled “provincial actions” and grouped into three overarching strategic objectives.
- The **outputs** to be produced through the activities are currently implied in the activities, and will need to be made more explicit by the implementing provincial partners, as part of operationalising the ISSP.
- The first set of **intermediate outcomes**<sup>8</sup> is labelled “intended municipal-level outcomes” on the diagram. These are expected to occur because of provincial actions and outputs. A further set of intermediate outcomes are labelled “municipal actions”. (It is important to stress that these are not within the operational control of the provincial stakeholders that own the ISSF.)
- The **long-term outcomes** and are expressed as “settlement-level outcomes” on the diagrams.

The intended **impacts** are expressed in the vision, and in the wording of Strategic Objectives 1, 2 and 3. Some settlement-level outcomes contribute to, and others partly constitute, the achievement of the intended impacts.

## 5.4 Literature scan: M&E of Informal Settlement Support and Upgrading

It is fairly common for government and others to monitor the operational aspects – **inputs, activities and outputs** – of informal settlement neighbourhood planning and development. For instance, the South African Outcome 8 indicators are all at the level of activities or outputs generated by provincial and local government.

It is also quite common to conduct general research into **outcomes** in informal settlements, for instance through the Census, Quarterly Labour Force Surveys (QLFS), National Income Dynamics Survey (NIDS) and General Household Survey (GHS). This data is not always easily disaggregated by type of settlement, requiring proxy indicators to be used. Because of sampling strategy and confidentiality issues, it is not always possible to analyse this data at the level of the specific geographic area of interest. However some useful data about the status quo in the general population, with some disaggregation, can often be gleaned from this data.

What is quite uncommon is to evaluate the **impact** of a particular policy, programme or intervention on informal settlements. Such an evaluation would ask questions such as, “Did the programme improve residents’ access to sanitation?” or, “Did community involvement in planning result in the community taking more ownership of the new infrastructure than they otherwise would have?” This is an emerging field and therefore any impact evaluation of any aspect of the ISSF would need to rely on some innovation. The findings of a brief literature scan of such evaluations is presented below.

Study reference	Methodology	Points to note
Creative Consulting and Development Works (CCDW), Evaluation of the UISP in the Western Cape, 2014	Mixed methods	<p>Close overlaps with the ISSP Framework. Focused on assessing 4 impacts as per the Housing Code: (1) enhanced security of tenure; (2) improved healthy and secured living environments; (3) reduced social and economic exclusion and (4) increased community empowerment.</p> <p>The final report includes a proposed set of indicators for M&amp;E of the UISP. These indicators are drawn from the existing UISP reporting requirements (which are focused at the output level) as well as a set of indicators that should be obtained from a sample of household surveys which would have to be developed. Up to 2016, the latter have not been developed by DHS.</p>
World Bank (2011), Impact Evaluation of Informal Settlement Upgrading in South Africa.	Pure Randomised Controlled Trial (RCT)	Where only one part of a settlement is upgraded, or upgrading happens in waves, there is an opportunity for site-based RCT. The study suggests that National DHS and World Bank (or another international development entities) may have an interest in funding rigorous impact assessments, especially if they can be involved in choosing upfront which projects to be involved in.
White, Tamara (2013), Advances in the Evaluation of Informal Settlement Upgrading in Brazil (Prezi presentation).	Qualitative study with document review	<p>The study found that in Brazil, M&amp;E of informal settlement upgrading is still patchy and particularly weak on empirical studies, except for standalone dissertations which are usually detached from the policy cycle.</p> <p>Internationally-funded and federally-funded upgrading programmes tend to be evaluated, but superficially (basic conditions and outputs).</p> <p>Barriers to broader M&amp;E of informal settlement upgrading projects:</p> <ul style="list-style-type: none"> <li>• Complexity – many actors and timeframes</li> <li>• Politics</li> <li>• Institutional priorities</li> <li>• Time</li> </ul> <p>Conducive conditions include stability, improving levels of capability and planning, and increasing demand for evaluation.</p>

## 5.5 References

- BetterEvaluation (N.D.), Contribution Analysis. [http://betterevaluation.org/plan/approach/contribution\\_analysis](http://betterevaluation.org/plan/approach/contribution_analysis) (Accessed 17 August 2016).
- Creative Consulting and Development Works (CCDW), Evaluation of the UISP in the Western Cape, 2014
- Department of Planning, Monitoring and Evaluation (DPME) (2011), National evaluation policy framework. [http://www.thepresidency.gov.za/MediaLib/Downloads/Home/Ministries/National\\_Evaluation\\_Policy\\_Framework.pdf](http://www.thepresidency.gov.za/MediaLib/Downloads/Home/Ministries/National_Evaluation_Policy_Framework.pdf)
- DPME (2014a), Guideline on Implementation Evaluation. DPME Evaluation Guideline No 2.2.12.
- DPME (2014b), Guideline on Impact Evaluation. DPME Evaluation Guideline No 2.2.13.
- Funnell, S. C. and Rogers, P. J. (2011), Purposeful program theory. San Francisco: John Wiley and Sons.
- PDG (2015), Report on the Design and Implementation Evaluation of the Urban Settlements Development Grant. <http://evaluations.dpme.gov.za/evaluations/501>
- UNICEF (2014), Series of Methodological Briefs on Impact Evaluation. Available at [www.unicef-irc.org](http://www.unicef-irc.org)
- White, Tamara (2013), Advances in the Evaluation of Informal Settlement Upgrading in Brazil (Prezi presentation). <https://prezi.com/kh-maxwknpet/advances-in-the-evaluation-of-informal-settlement-upgrading-in-brazil/>
- World Bank (2011), Impact Evaluation of Informal Settlement Upgrading in South Africa. [http://siteresources.worldbank.org/INTDEVIMPEVAINI/Resources/3998199-1286435433106/7460013-1313679274012/FULL\\_REPORT-Informal-Settlement-Upgrading-in-South-Africa.pdf](http://siteresources.worldbank.org/INTDEVIMPEVAINI/Resources/3998199-1286435433106/7460013-1313679274012/FULL_REPORT-Informal-Settlement-Upgrading-in-South-Africa.pdf)

---

<sup>1</sup> See for instance, Funnell and Rogers (2011).

<sup>2</sup> See the appendix for more detail.

<sup>3</sup> The ISSF assumes that much of its impact will be achieved through coordination between provincial government departments, and can therefore potentially draw lessons from the Evaluation of Government Coordination Systems (Impact Economix, 2014).

<sup>4</sup> Strategies related to provincial and national grant funding for human settlements can be compared with the lessons learned in the USDG evaluation (National) (PDG, 2015) and the UISP evaluation (Western Cape) (Creative Consulting and Development Works, 2014).

<sup>5</sup> See DPME (2014a).

<sup>6</sup> For an overview see DPME (2014b) and UNICEF (2014).

<sup>7</sup> For an overview see BetterEvaluation (N.D.).

<sup>8</sup> The logic of the ISSF acknowledges the division of powers and functions by showing that provincial government has influence, but not operational control, over municipal actors' actions. This is why changed conditions at municipal level have been expressed as "outcomes" which should lead to municipal-level actions.