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Evaluation Guideline No 2.2.2?

Integrating a transformative equity criterion into evaluations for promoting transformative systemic change

Created: 13 July 2022
Updated:

Addressed to	Government departments and entities (*schedule I & II*) who are undertaking evaluations (programme managers and M&E staff); evaluators of government programmes and policies.
Purpose	The purpose of this guideline is to provide guidance to evaluators and commissioners of evaluation on how to apply an equity criterion in evaluation.
Policy reference	These guidelines support the objectives of the National Development Plan Vision 2030, and should be read in conjunction with: • National Evaluation Policy Framework, 2019 • Gender Responsive Planning, Budgeting, Monitoring, Evaluation and Auditing Framework, 2018 • DPME Evaluation Guideline No 2.2.1 – How to develop Terms of Reference for Evaluation Projects[1]. • DPME Guidelines on specific evaluation types 2.2.10-2.2.15
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[1] https://evaluations.dpme.gov.za/pages/guidelines-other-resources

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PART A: BACKGROUND, PURPOSE AND FRAMEWORK OF THE GUIDELINE

1 Introduction

Systemic issues like inequity and climate/ecosystems breakdown are becoming more pronounced across South Africa, as in many parts of the world. The unrest in KwaZulu-Natal (KZN) and Gauteng in July 2021, the increasing incidence of hunger and food insecurity across the country, and the extensive damage caused by the flooding in April and May 2022 in KZN and the Eastern Cape underscore the need for significant transformation in our ways of thinking, relating and doing business. Evaluation can and should contribute to transformation of current systems through the evidence it generates to guide decision-making.

South Africa's National Evaluation Policy Framework 2019-2024 (DPME, 2019) stresses the need for equity to be considered explicitly in evaluations. However, there is a lack of criteria, guidelines and tools to address this.

Developed in a co-creation process,[2] this guideline on transformative equity seeks to provide detailed guidance for broadly applying equity as an evaluation criterion across all sectors and interventions. The guideline will assist in ensuring that evaluations assess the extent to which interventions under review address the national commitment to redress inequalities that affect different sections of society, with the aim of contributing to a transformation of the system.

This is not a standalone guideline and must be read in conjunction with other relevant Department of Planning, Monitoring and Evaluation (DPME) guidelines, notably the guideline on developing evaluation terms of reference (TORs),[3] and the Gender-Responsive Planning, Budgeting, Monitoring, Evaluation and Auditing Framework (2019). It is also recommended that these guidelines are read with the guidelines on climate and ecosystems health (CEH), given how climate- and ecosystem-related disasters are also a result of the exploitative economic forces creating inequality, with differentiated impacts on society based on factors such as wealth, location and context.

This guideline contributes to the South African evaluation system's efforts to mainstream transformative equity concerns in all evaluations.

2 Purpose of the guideline

The purpose of this guideline is to support evaluation commissioners[4] and evaluators to incorporate a new evaluation criterion and lens on transformative equity in the process[5] of all evaluations, regardless of the objectives of the intervention or evaluation type.

As such, the guideline:
- Unpacks what is meant by transformative equity;
- Argues that evaluation has a role to play in promoting transformation;

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[2] This guideline was developed through a collaborative process involving the South African Monitoring and Evaluation Association (SAMEA), representatives from DPME, Department of Social Development (DSD) and the National Development Agency (NDA), as well as independent evaluators, researchers, and civil society representatives. The basic elements of the guideline were developed in a SAMEA hackathon in October 2021, and then further developed by a core team between November 2021 and April 2022. It was shared with reviewers for critical inputs. A list of contributors and reviewers is available in Annex 2.

[3] See https://evaluations.dpme.gov.za/pages/guidelines-other-resources.

[4] Across different sectors including state & non-state actors and funders/donors

[5] Planning, designing, conducting, reporting and dissemination of evaluations

- Motivates why it is important to incorporate the new transformative equity criterion and lens when planning and conducting evaluations;
- Defines the transformative equity criterion: description and dimensions;
- Explains the principles guiding transformative equity and how these principles can be adopted and applied by commissioners and evaluators;
- Presents how transformative equity can be mainstreamed into the planning, commissioning, design, undertaking of, and follow-up use of evaluations;[6]
- Provides some case studies and practical examples.

The first part of the guideline provides an overview of the transformative equity criterion and the motivation for its consideration. From PART B: INTEGRATING EQUITY INTO EVALUATION: Commissioning, Designing and Undertaking Evaluations, we use the structure of the DPME guideline on terms of reference (TORs) to explain how equity can be applied during commissioning and implementation, including adaptations to evaluation questions and inclusive evaluation design.

3   Understanding inequity in South Africa

South Africa is the most unequal country in the world.[7] Colonialism and apartheid have left deep-rooted injustices and inequalities in access to and ownership of services, resources and assets, while the post-apartheid economy has continued to reproduce high levels of inequality in income and wealth. The persistent inequalities in South Africa are not only economic, but also reflect inequities between races, ethnicities, genders and geographic regions, and are evident in the availability and quality of services and in environmental concerns (Makgetla, 2020; Leibbrandt, 2021). Social, economic and environmental inequalities negatively affect the social fabric of society and undermine social cohesion, thereby threatening the full development and stability of the country (see Box 1).

> **Box 1: The extent of inequality in South Africa**
> Data from Statistics SA highlight the level of inequality in South Africa. The Inequality in Trends report (StatsSA, 2019) notes that "the mean real earnings between 2011 and 2015 amongst employed black Africans was only R6 899 per month, compared to R9 339 among Coloureds, R14 235 among Indians/Asians, and R24 646 per month among whites." African youth (15-34 years) bear the brunt of the unemployment problem, with almost two out of every three young person, or 59,5%, unemployed. (StatsSA, 2021).
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> Long established systems and infrastructure replicate these inequities. In public schools, a lack of basic facilities, quality learning materials and well qualified teachers negatively impacts children's ability to learn, generating huge divides in educational preparedness. The country is also affected by a dual and unsustainable health system. The private sector caters for only 27% of the population with medical aid, while the public sector struggles for resources to adequately

The South African Constitution provides for a unified and equitable society in which human dignity and rights are upheld for all its citizens. The National Development Plan (NDP) 2030 further clarifies a vision of a South Africa that is "just, fair, prosperous and equitable" by 2030 (NPC, 2012, 61). Its ambitious development goals are aligned with many of the Sustainable Development Goals (SDGs)[8] and the African Union Agenda 2063. However, the country continues to struggle to reach the NDP's vision due to the many challenges that contribute to persisting inequities, including inadequate infrastructure, spatial divides, limited job growth,

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[6] This may also require changes to M&E policies and guidelines
[7] Based on World Bank assessments of the Gini coefficient, which measures income distribution across segments of society to demonstrate levels of inequality. South Africa has the highest level of inequality, at 0.69 out of a scale of 0-1, among countries assessed.
[8] Relevant SDGs include: an end to poverty (Goal 1), an end to hunger (Goal 2), improvements in health and wellbeing (Goal 3), gender equality (Goal 5), reduced inequalities (Goal 10), and take proactive action for the environment (Goals 6, 7, 12, 13, 14)

and persistent poverty.[9]

4 The importance of mainstreaming transformative equity in evaluation

4.1 The meaning of transformative equity

Equity is often conflated with equality. *Equality* can be understood as a state of affairs in which all individuals, groups or areas receive the same set of benefits or have the same exposure to opportunity regardless of their current position of privilege or need. Equality/inequality are often discussed in economic terms, linked to how economic means and benefits are shared across segments of the population. Equality is also often discussed within the realm of gender, focusing on the disparate levels of treatment of, and presumed roles assigned to, females and males. In these examples, inequality refers to unbalanced conditions.

Equity refers to fairness and justice within social and economic systems, ensuring that persons or regions receive appropriate levels of support according to their level of need. For purposes of this guideline, inequity is understood as the extent to which systems have been purposefully designed to benefit some individuals, groups or areas over others. Seeking equity is transformative in that it aims to achieve equality by applying differentiated interventions so that all segments of society can equally benefit or participate.

Figure 1: Understanding equity versus equality and the role of justice
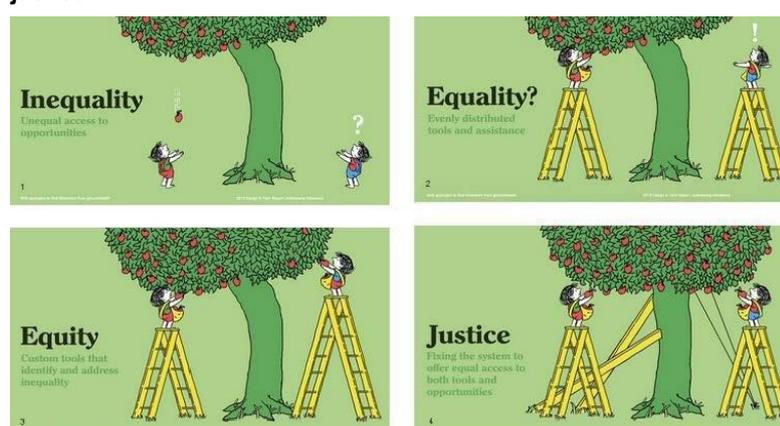
Achieving equity often requires a transformation of systems to break apart the structures that perpetuate the imbalances (Minow, 2021) and bring them to a state of fairness. Therefore, justice, particularly restorative justice, takes equity further along the path of transformation to more sustainable, equitable and equal societies.[10] The Presidential Climate Commission's Framework for a Just Transition in South Africa describes restorative justice as redressing "historical damages against individuals, communities and the environment, with the goal of rectifying or ameliorating the situations of harmed or disenfranchised communities" (PCC, 2022).[11]

4.2 Evaluation's role in promoting transformative equity

These guidelines arise from the perspective that evaluation can and should play a critical role in societal transformation.[12] American evaluation theorist Ernest House argues that evaluation can be used to either shift or maintain existing repressive structures because results are "used to determine 'who gets what' and that … evaluation's primary purpose [is] namely to promote social justice" (Christie and Alkin, 2013, 38). Chaplowe and Hejnowicz note that evaluation

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[9] https://www.sabcnews.com/sabcnews/anc-slammed-for-failing-to-implement-ndp/

[10] https://onlinepublichealth.gwu.edu/resources/equity-vs-equality/

[11] The Just Transition Framework also elaborates on distributive justice, the equitable distribution of risk and responsibility, and procedural justice, empowering workers and communities to define own development and livelihoods in the transition.

[12] For more, see Bitar, 2021; Chaplowe & Hejnowicz, 2021; Patton, 2020; and van der Berg, Magro and Adrien, 2021.

"straddles both theory and practice," enabling it to support transformational learning and change (2021, 2).

Numerous evaluation approaches have been developed that offer ways to incorporate equity concerns into the methodology, e.g. participatory evaluation, feminist evaluation, empowerment evaluation and equity-focused evaluation. However, there are few examples of evaluation criteria for assessing an intervention's contribution to equity, and few tools to assist in the process.[13]

Criteria are key guideposts for conducting evaluations as they guide the questions that are developed and reflect and operationalise the priorities and values under investigation (DPME, 2019). The current OECD/DAC[14] evaluation criteria that guide most evaluations undertaken globally and promoted in the National Evaluation Policy Framework (NEPF) do not explicitly cover equity. In revising the criteria, the DAC suggest that the issues of equity and inclusion can be covered in other domains such as relevance, effectiveness and impact. However, numerous evaluation experts have questioned this approach/decision (Bitar, 2021; Chaplowe and Hejnowicz, 2021; Ofir, 2021; Patton, 2020). Therefore, an explicit criterion on transformative equity can help evaluators and commissioners of evaluation to ensure that issues of equity are adequately and purposefully mainstreamed in the evaluation process.

5 Transformative equity criterion

The criterion for transformative equity requires intentional consideration of five dimensions, which are: (1) **Population/populace**; (2) **Cause and effect**; (3) **Space**; (4) **Content and intention**; and (5) **Timing**. These dimensions often intersect. Table 1 expands on these dimensions.

Table 1: Dimensions of transformative equity

Criterion	Transformative equity
Definition	The extent to which an intervention's objectives, design, implementation and impact contribute to, or do not contribute to, addressing systemic inequities and promotion of a more inclusive society
Notes	- By including the word "transformative," the criterion underscores the assumption that reaching equity requires a transformation of systems and structures, both of the intervention and of the evaluation approach. - Systemic inequities refers to the ways systems have been designed, established and maintained to perpetuate inequities. In South Africa, the persistent social inequities are remnants of the system of apartheid, and levels of inequality, as measured under the economic dimension by the GINI coefficient, are now the highest documented in the world. - Transformative equity considers five dimensions: (1) **Population/ populace:** *Who* benefits/who loses, who is included/who is excluded; (2) **Cause and effect:** *How* does inequity play out and *How* is the intervention responding to inequity; (3) **Space:** *Where* do key inequities persist and what are the geographical and spatial factors affecting equity; (4) **Content and intention:** *What* is the transformative change potential of the intervention in relation to equity; and (5) **Timing:** When is the intervention/evaluation taking place? How has the equity issue changed over time?

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[13] Exceptions include Michael Quinn Patton (2020)'s recently developed alternative set of evaluation criteria that includes diversity, equity and inclusion as one criterion, and Khalil Bitar's (2021) tool to assess social equity (see Annex 4 for the tool).

[14] Organisation for Economic Development and Cooperation/Development Assistance Committee

Dimension 1: Population/populace: *who* benefits/ loses; *who* is included/excluded

The "*Who*" dimension requires evaluation commissioners, evaluators and other stakeholders to reflect on which segments of the population are prioritised by an intervention and which are not, to examine who benefits and who loses from the intervention in practice (whether intentional or not) and how the consequences of an intervention, expected or unexpected, affect groups differently. Critical in the context of transformative equity is the intentional inclusion of individuals/groups who may be disempowered by an initiative, the historically marginalised and discriminated, or otherwise disempowered or voiceless. In addition to the groups commonly identified in conversations about equality (e.g. women or racial groups), the "who" dimension encourages the consideration of persons with disabilities, migrants or refugees, and persons who identify as LGTBIQ+. The examination of "who" depends greatly on the focus of the intervention and requires an intentional awareness of issues of power and inclusion as these play out in the intervention (and the evaluation).[15]

In the South African context, there are specific segments of the population already identified as priorities for many social development interventions. These include: African women, children and young people, NEETs (young people not in education, employment or training), and persons with disabilities. Attention to the intersections between different categories is critical, e.g. rural African women or young African trans-persons, when considering who is included or excluded and who benefits or loses, as well as considering people at different life stages. However, it is important to focus not on particular marginalised groups but on how power may result systemically in negative outcomes for different groups in society.

Dimension 2: Cause and effect: *how* does inequity play out and how is the intervention responding to inequity

The "how" dimension encourages a critical consideration of 1) the context within which an intervention operates, particularly the systemic issues that perpetuate inequities; 2) the extent to which the design and implementation of the intervention promotes equity; and 3) the extent to which the intervention affected equity in the long-term. In this way, the "how" dimension reflects an element of relevance or responsiveness to the broader context within which the intervention is placed.

Under the "how" dimension, evaluators and other key stakeholders should consider what systemic factors are at play that perpetuate social and economic inequities, and the extent to which an intervention adequately addresses those issues.

Examples of systemic factors that perpetuate social and economic inequities include inequalities in the ownership and control of assets (e.g. ownership of businesses, capital stock, land), large disparities in wages between sectors, and disparities in quality of education between schools in former homelands and former all-white schools. These systemic factors are remnants of the apartheid system that continue to influence access to and distribution of wealth, jobs and services.

In understanding how interventions are responsive to equity issues, evaluations should focus on examining the extent to which the intervention was delivered in a manner that was relevant to the needs and expectations of the different priority groups and the flexibility of the intervention to provide differentiated components depending on location or group need, and the extent to which it seeks to change the structural issues which disempower.

Dimension 3: Space: *where* do key inequities persist and what are the geographical and spatial factors affecting equity

The "where" dimension focuses on spatial and geographic contexts (e.g., land, space, quality of the environment and rights of access or use by different groups), the extent to which the intervention is experienced in different areas, and the extent to which the intervention is able to redress the causes of inequality that result from these geographic contexts. The differential effects of interventions play out in different communities such as rural, informal settlements, formalised peri-urban townships, traditional formal urban centres. A particular problem faces former homelands, which are some of the poorest parts of South Africa.

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[15] Ability and skill to mainstream the equity criterion in the evaluation process is also critical to ensure an equity lens is applied to evaluation. The skills and qualities needed of evaluation technical working groups and evaluation teams is described in sections 6 and 7.

The "where" dimension recognises that different locations or areas provide greater or lesser opportunity for people in terms of education, economic opportunity, mobility, health and environment, and neighbourhood quality, due to multiple reasons including historic factors, geographic location, and available environmental resources. It also asks how the intervention sought to address the geographic and environmental issues which disadvantage particular places and social groups, e.g. designing appropriate services for rural areas, thus speaking to issues of environmental justice.

Equity can also be an important consideration in the sustainability of results, e.g. the degree to which the benefits of a program or intervention sustain may also depend on the socioeconomic or spatial/geographic traits of the beneficiary community.

Dimension 4: Content and intention: *what* **is the transformative change potential of the intervention.** To what extent are interventions designed to contribute to progressive change for a more equitable South Africa?

While some interventions have explicit objectives promoting equity or inclusion – e.g. a youth employment programme – the transformative equity criterion urges that every intervention includes an assessment of objectives and results to determine that they can promote national priorities of equity and social inclusion. Therefore, the "what" dimension urges evaluators and other key stakeholders to consider the choice of intervention and to consider whether the design and implementation approach adequately matches a transformative objective.

Specifically, the "what" dimension urges evaluators and other key stakeholders to consider the extent to which the intervention is meeting or contributing to (or expected to contribute to) specific transformational objectives that seek to redress social and economic inequities; to differentiate between interventions that make a deliberate and concerted effort to address issues of equity versus those that lightly glance over it; and whether interventions seek only to address symptoms but not the root cause of the problem.

The "what" dimension requires reviewing the existing theory of change or developing a theory of change through engagement with designers/implementers/ participants, in order to determine the driving objective of intervention and its alignment to national, continental and global goals for ending poverty and supporting an equitable, prosperous and inclusive society. In considering issues of effectiveness of interventions in achieving equity objectives, it is important for evaluators to distinguish between theory failure and implementation failure, recognizing that the evaluation should consider both how well the intervention was designed and delivered, in terms of addressing equity issues.

Dimension 5: Timing: *when* **is the intervention/evaluation taking place; how has the equity issue changed over time**

The "when" dimension urges evaluators and commissioners to consider various time elements with regard to the intervention and the evaluation process. Firstly, the "when" dimension urges evaluators and commissioners to understand the time period when the intervention is taking place, paying attention to the social and political discourse within which the intervention is situated. For example, there may be more openness for certain social changes after an election then would be present just before an election. High youth unemployment is currently a hot topic politically and socially. How would an evaluation of YES, the Youth Unemployment Service programme, be influenced by timing? In this way the "when" dimension relates to relevance and coherence.

In addition, the "when" dimension encourages evaluators and commissioners to consider how the equity issue under consideration has changed over time. Has there been any improvement in the issue over time? If not, why not?

Finally, evaluators and commissioners are encouraged to think about the durability of equity results over time. If interventions are to be truly transformative, the changes in equity need to last into the foreseeable future.

6   Equity principles

6.1   Principles supporting the application of equity in evaluations

Applying an equity lens to evaluation requires an acknowledgement of, and continual

reference to, a set of supporting principles, as well as conscious effort to include equity-focused questions into each step of the evaluation process. One can refer to the Batho Pele principles[16] as a starting point. In addition, consider the suggested principles below.

a) Equality, justice and respect for human dignity: The South African Constitution upholds the equal enjoyment of rights and freedoms for every person in South Africa and that no person should be disadvantaged or discriminated against. The Constitution also notes that all persons have the right to equal protection and benefit of the law. This understanding of equality is based on the belief that all persons have the right to have their human dignity recognised, protected and respected. In the realm of evaluation, evaluators, commissioners and funders need to be attentive to ways in which the intervention and the evaluation process itself promotes these principles of equality and human dignity. Evaluators and commissioners of evaluation are urged to uphold impartiality, seek and promote justice, treat all stakeholders with the same level of respect and ensure that less powerful stakeholder groups have equal opportunities to make their voices heard or to review and respond to evaluation findings.

b) Awareness of power and voice: Power dynamics are hugely influential in the implementation of interventions and in their evaluation. Power differences exist between intervention and prioritised beneficiaries; between evaluator and beneficiaries; between commissioners and evaluators; and between funder and recipient. To integrate equity into the evaluation process, intentional awareness of and ability to mitigate against dynamics that undermine equity are required. Evaluators, commissioners, and funders must be prepared to explicitly search for how power manifests in the intervention, which is often diffuse and hard to identify. Having an awareness of power and voice encourages evaluators and commissioners to share ownership of the evaluation process such that study participants and others invested in the intervention have the opportunity to participate in and influence evaluation design, interpretation of findings and evidence-based decision-making.

c) Ubuntu: Ubuntu emphasises a relational way of being that acknowledges interdependencies between all things, living and non-living, material and spiritual. Adopting ubuntu allows us to recognise a shared environment and shared sense of wellness, and requires a change in our embedded attitudes towards the vulnerable and most marginalised, as well as nature. In applying ubuntu to evaluation planning, implementation and use, evaluators and commissioners are urged to give space to the perspectives of all stakeholders and consider the multiple and interconnected ways of knowing and ways of being that will influence how an intervention is experienced and how values are determined and to ensure that benefits accrue equitably (Chilisa, 2015, and Billman, 2019).

d) Inclusivity: In the context of evaluation, inclusivity refers to the intentional inclusion of the multiple identities and geographies that are affected (directly or indirectly) by a given intervention such that these identities and geographies are represented in the different phases of the evaluation including preparation, implementation, and follow-up. Processes need to be established to ensure that those who may have been previously marginalised from evaluation processes or have had less voice are given the opportunity to contribute to the process meaningfully. For example, community stakeholders must be equal partners, not merely as sources/objects of data or token representatives on "advisory councils". Inclusivity also means the priorities, interests, voices, insights, and concerns of stakeholders are solicited and reflected upon from the conception stage through to delivering the evaluation findings.

e) Systems thinking: Development interventions are often complex with multiple influences and stakeholders and complex theories of change. It is important to understand how these are part of bigger systems, with often unintended outcomes in linked systems (e.g. nature). A systems thinking approach aims to map and understand the entire spectrum of relationships,

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[16] https://www.dpsa.gov.za/documents/Abridged%20BP%20programme%20July2014.pdf

interests and influences which have a bearing on an intervention and its effectiveness. In this way, evaluation practice needs to incorporate analyses of interactions and inclusivity within systems. This can be achieved by mapping and understanding the components of sub-systems of interest and understanding their needed contributions within the overall system.

In the next sections, we distinguish the implications of these principles for commissioners and evaluators.

6.2   Applying equity principles as the commissioner

The commissioner has a responsibility to promote equity in the process of commissioning and managing evaluations. This implies:

● Adopting a mindset for social justice and equality under the law and a willingness to examine structures that perpetuate inequities, even where these may affect dominant interests.

● Being attentive to the dynamics of power and voice that are at play in how interventions are funded, designed and implemented; how evaluations are carried out and evaluators are perceived; and how evaluation results are presented and used.

● Ensuring the intervention and the evaluation process itself do not reinforce inequity or produce unintended consequences that perpetuate inequality and inequity and exclusion.

● Ensuring the evaluation is not narrowly focused on the intervention and intervention objectives, but asks broader questions about relevance and coherence in the broader system, and how effectively the intervention supports systemic change, especially around equity issues.

● Establishing multiple mechanisms for broad stakeholder engagement and ensuring that stakeholder engagement is inclusive, respects the dignity of all stakeholders, and gives stakeholders meaningful opportunities to contribute their voice throughout the entire evaluation process.

● Creating an *inclusive* and respectful environment where those affected by the intervention can meaningfully input into the evaluation process (e.g. by being on the steering committee, or by being consulted or involved in the evaluation). This should include ensuring that the *interests of less powerful groups* are safeguarded in the evaluation process and ensuring that meetings facilitate inputs from these groups. For some meetings, this may require use of local languages and visual tools, groups meeting separately, setting meetings at times when all can participate (e.g. evening meetings can mean those who are employed can participate), or establishing active rules of engagement to facilitate equity in contributing to meetings. In some cases, creating inclusive environments means bringing in civil society organisations that represent particular groups or can advocate for particular groups or issues.

● Creating an environment that encourages *creative thinking,* i.e., appreciating everyone's contributions, promoting equality of input, encouraging everyone's contributions, providing quality of attention to all, facilitating a relaxed environment that creates feelings of ease, accepting emotions and feelings that may emerge, using information when needed, encouraging diversity of thinking, and using incisive questions to unpack underlying root causes.[17]

● Welcoming *divergent views* to enrich the debate while also facilitating a process of

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[17] https://www.timetothink.com/thinking-environment/the-ten-components/

coming to agreement.[18]

- Establishing trust and buy-in with communities, particularly with those that have previously been consulted without seeing any changes in their lives. Giving community members the opportunity to express their reservations and expectations and adjusting the evaluation process to incorporate these concerns will help to build trust that the evaluation is worthwhile.

- Ensuring that the evaluation team is *diverse in background and experience, and able to understand and empathise with the most affected groups in a particular evaluation,* demonstrating commitment to the principles of transformative equity.

6.3   Applying equity principles as an evaluator

Evaluators have a responsibility for promoting and upholding equity throughout the evaluation process. Evaluators need to specifically look for how power plays out in the intervention, and to be conscious of who is included in the process and who is excluded or disempowered, and the contextual factors at play. The ethical mandate required of evaluators incorporates and supports the equity principles; by ensuring the informed consent, privacy and confidentiality of evaluation participants, evaluators respect participants' human dignity. In addition, adopting equity principles requires evaluators to engage in a process of ongoing self-reflection and adjustment, including a willingness to question and adapt traditional evaluation methods in order to ensure meaningful inclusion of a broad range of stakeholders, and particularly historically excluded populations. This implies:

- Self-reflecting on one's own biases and position of privilege, and transparency as to how these biases may influence the evaluation process;

- Adopting a mindset of social justice and a commitment to using evaluation to promote transformative equity;

- Considering the application of evaluation theories or methodologies that are inclusive and participatory, e.g. participatory evaluation,[19] feminist evaluation,[20] or empowerment evaluation;[21]

- Having teams where previously disadvantaged individuals (PDIs) play a major and not token role in the evaluation process;

- Appreciating the specific features/principles of our African context, particularly the importance of relationships, the appreciation of material and non-material interactions, the interconnectedness with nature, and acknowledgement of multiple ways of knowing and being.

- Creating safe spaces for all stakeholders to contribute their voice in the process without intimidation, ensuring that less powerful groups are treated fairly and respectfully. This requires the facilitation skills to enable a creative and inclusive process. For some meetings this may require use of local language, visual tools, groups meeting separately, or active rules of engagement for promoting equitable contribution in meetings (e.g. all people are asked their views at particular points).

- Upholding ethical evaluation practice through ensuring that evaluation participants

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[18] An example of this is in this video of the Diagnostic Review of Violence Against Women and Children https://youtu.be/JFZdnEOWARA and this policy brief https://wiredspace.wits.ac.za/bitstream/id/e627b871-2636-4369-a5c8-79074f22bd56/Government%20Commissioned%20Evaluation_Building%20a%20culture%20of%20evidence%20informed%20policy.pdf

[19] https://www.betterevaluation.org/en/plan/approach/participatory_evaluation

[20] https://www.betterevaluation.org/en/themes/feminist_evaluation

[21] https://www.betterevaluation.org/en/plan/approach/empowerment_evaluation

have full understanding of their rights as an evaluation participant.

PART B: INTEGRATING EQUITY INTO EVALUATION: Commissioning, Designing and Undertaking Evaluations

For evaluations to assess the extent to which an intervention has influence in transforming society, the evaluation questions, design and management have to reflect the dimensions and principles described in the previous section. This Part B provides guidance regarding how equity dimensions and equity principles can be incorporated into the evaluation process, from commissioning to dissemination and use of findings.

7 Incorporating equity into the evaluation process in a way that encourages the likelihood of use of the evaluation

Integrating equity into evaluation encourages commissioners and evaluators to consider four aspects simultaneously: "diversity of evaluation teams (beyond ethnic and cultural), cultural appropriateness and validity of evaluation methods, ability of evaluation designs to reveal structural and systems-level drivers of inequity, and the degree to which those affected by what is being evaluated have the power to shape and own how evaluation happens." (Patton, 2020, 21; citing Coffman, 2018; Dean-Coffey, 2020; EEI, 2020). Therefore, engaging stakeholders meaningfully throughout the entire evaluation process, from conception through presentation of findings and development of improvement plans, is critical to incorporating equity in the process and increases likelihood of ownership and use of results (See section 8.2.4 for more on stakeholder engagement).

Table 2, which draws on work by Goldman and Pabari (2020), presents approaches that can be used to engage stakeholders and increase the likelihood of evidence use.

Table 2: Possible interventions to maximise use of transformative equity findings

Change to bring about	Evidence use interventions
Building agreement/ understanding/ trust and commitment to using the results	● Steering committee to include key stakeholders, potentially including those affected by the intervention ● Running capacity-building (e.g., learning-by-doing, workshops and formal training courses) around the transformative equity criterion ● Involving insiders e.g., from government and possibly the area if a specific geographical area is prioritised
Facilitating a process of understanding the importance of transformative equity issues among stakeholders (buy-in)	● Face-to-face feedback of findings involving equity specialists (perhaps sector-specific, e.g., social development, economics) who can assist stakeholders to understand the evidence ● Encouraging active engagement and dialogue around the implications and challenges of making suggested changes, including adjustments to theory of change or intervention design; trade-offs or contradictions with other elements of the intervention ● Organising meetings with stakeholders adversely affected by the intervention, e.g. excluded from social benefits plan
Strengthening ability and confidence of stakeholders to use the evidence	● Involving equity specialists to assist stakeholders to understand the implications of the evidence and possible ways to address this ● Facilitating workshop(s) with implementers and stakeholders about how to incorporate evaluation improvement plan recommendations?
Institutionalising/ formalising use of the evidence	● Use of management responses and improvement plans to formalise action needed
Ensuring access to the	● Producing accessible 1/5/25 page reports and policy briefs

Change to bring about	Evidence use interventions
evidence	● Report being available on a knowledge repository

8 Developing TORs and commissioning of the evaluation

Terms of reference (TORs) guide the design, commissioning and implementation of an evaluation. The TORs specify the evaluation's purpose or objectives, scope, existing context, expected deliverables, envisioned methodological approach, key questions which inform the evaluation methodology, the evaluation team's expected expertise and composition, and the implementation arrangements, including advisory bodies and modes of communication.

DPME Evaluation Guideline No 2.2.1[22] provides guidance for the development of TORs and how the document should be structured. We go through the different components of a TOR in turn in the following sections.

8.1 Determining how far to consider equity in the evaluation

As with all evaluations, decisions need to be made about the nature and scope of the evaluation and the extent to which transformative equity considerations are included in the TORs, design and implementation. Not all interventions will address equity explicitly; however, all programmes are either contributing to equity or perpetuating systemic inequities. Therefore, all evaluations should consider transformative equity to some degree.

A one-size-fits-all approach is not recommended in applying the transformative equity criterion in evaluations. While the TORs for an evaluation are being drafted, evaluation commissioners need to consider the extent to which transformative equity will feature in the evaluation in overall terms. This consideration recognises that different factors affect feasibility, including:

- The context of the intervention, its objectives, and its coherence within the larger development agenda;
- The level at which the intervention operates – local, provincial and/or national levels;
- The extent to which equity considerations have been explicitly incorporated into the objectives and design of the intervention, or its theory of change;
- The evaluation purpose;
- The type of evaluation that is being undertaken (diagnostic, implementation, outcome, impact, economic, etc);
- The timeframe and resources available to undertake the evaluation (e.g. extent to which additional evaluative processes can be included);
- The availability of relevant sources of data and expertise;
- The extent to which those managing the intervention are already aware of and have data on the outcomes and impacts of the intervention.

Discussions about these different factors will help the commissioners determine how heavily to integrate the equity criterion into the evaluation; it is encouraged that all evaluations incorporate an equity lens to a minimal degree.[23]

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[22] https://evaluations.dpme.gov.za/pages/guidelines-other-resources

[23] For some evaluations, an evaluability assessment may be undertaken. If so, the evaluability assessment can also consider presence of equity dimensions in the intervention (TOC, design documents), review whether disaggregated monitoring information was collected, assess the extent to which intervention design involved stakeholder analysis and undertake some equity analysis to assess whether equity analysis is feasible and inform the design of the evaluation.

8.2 Considering equity in the focus of the evaluation – purpose, scope and questions

8.2.1 Determining the purpose of an evaluation project

The evaluation purpose provides the overarching guidance for the evaluation endeavour, as it provides the basis for evaluation questions and methodology. In some evaluations, the link with equity is explicit, and clearly features in the purpose statement. For other evaluations, the link with equity is not evident and will require some thought. The example shown in Box 2 clearly shows an equity focus:

> **Box 2: Purpose of the Impact and Implementation Evaluation of the Social Housing Programme**[24]
> … to assess the extent to which the social housing programme is contributing to urban restructuring (integrating and revitalising neighbourhood spatially, socially and economically) and providing affordable quality rental accommodation to the target market and thus generating value for money, and to assess the sustainability of the delivery model. The evaluation will contribute to the rental housing policy revision process.

In contrast, the purpose statements for an outcome evaluation of the Export Marketing Investment Assistance Incentive programme (EMIA)[25] did not clearly integrate questions of equity. Guided by Dimension 1: *Who,* Dimension 2: *How* and Dimension 4: *What*, the purpose statement of the EMIA outcome evaluation could be rephrased to clearly identify the equity intention of the intervention and/or the evaluation, as seen in Box 3.

Box 3: Rephrasing EMIA outcome evaluation purpose statement

Original purpose statement	Purpose statement rephrased to include equity
This evaluation will provide: (1) Strategic information by determining if EMIA is achieving its objectives and (2) Operational information by examining where, how and why its implementation achieves/ does not achieve the best results). Lessons from the evaluation will be used to improve programme performance.	This evaluation will provide: (1) Strategic information by determining if EMIA is achieving its objectives, and (2) Operational information by examining: *a) who is benefiting from the programme and in what ways, b) who is not benefiting from the programme and what are the broader social implications, and c) how and why its implementation achieves/ does not achieve outcomes for different priority groups in a way that broadens the social benefit.* Lessons from the evaluation will be used to improve programme performance.

Table 3 further indicates how the purpose may be adjusted to incorporate an equity focus.

Table 3: Adapting the evaluation purpose questions to include equity considerations

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[24] https://evaluations.dpme.gov.za/evaluations/519

[25] https://evaluations.dpme.gov.za/evaluations/434

Type	Timing	Typical core question in the purpose[26]	Possible adapted core question, if a focus on equity is required (in italics)
Diagnostic	At key stages prior to design or planning	What is the current situation/root cause of the problem and possible interventions to address it?	What is the current situation and root cause of the problem? *What structural/systemic inequities (e.g. between groups and locations) contribute to that problem,* and what are possible interventions to address it?
Design	Prior to implementation, or after an intervention has been designed	Is the logic of the intervention design robust and likely to work?	Is the logic of the intervention design robust, likely to work, and *likely to contribute to transformative equity*?
Implementation/ Formative/ Process	Once or several times during the intervention	Is the intervention being implemented as planned? Are the outcomes likely to be achieved, and why?	Is the intervention being implemented as planned? Are the outcomes likely to be achieved and why? *What are the expected outcomes for transformation in the structural systems as they relate to equity? Is the intervention likely to result in lasting changes in systems affecting equity (for beneficiaries)*?
Outcome/ Impact/ (Summative)	Designed early on, Baseline implemented early, impact checked at key stages	Have short-term outcomes[27] or medium-term outcomes[28] been achieved as a result of the intervention?	What short-term outcomes or medium-term outcomes have been achieved as a result of the intervention *with what transformative equity outcomes for different groups, intended or unintended*?
Impact	At completion of intervention or after significant periods (e.g. 5 years)	How have beneficiaries' lives changed as a result of the intervention? What have been the intended/unintended impacts of the intervention on the intended beneficiary organisation?	*Which* beneficiaries' *and other affected groups'* lives[29] have changed as a result of the intervention, *and have there been impacts on systemic inequity*? *How have the systems within which the intervention is situated changed? Are these changes expected to last? What are the expected further impacts of these system-level changes?*
Economic	Can be at all stages	What are the costs in relation to the benefits? Is the programme providing value for money?	What are the costs in relation to the benefits? *What trade-offs have there been between scale/reach and accessing the hard-to reach, including between groups affected? What are the social costs of inaction?* Is the programme providing value for money *and how does this differ between beneficiary groups or those included/excluded*?
Synthesis	After a number of evaluations are completed	What is the evidence from all evaluations related to the topic in question?	What is the evidence from all/multiple evaluations related to the topic in question *in relation to transformative equity*?

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[26] And in almost all cases this would also include: and how can the intervention be strengthened?
[27] Changes in capacity and systems
[28] Changes in behaviour or performance
[29] E.g. defined by race, class gender and space

8.2.2 Considering equity in the scope of the evaluation

As equity is a normative, value-based concept, it is important for TORs to define which groups are of concern, which groups are particularly marginalised/vulnerable in this context, what stakeholder characteristics are of interest and what is meant by a fair distribution. In adding equity issues into the scope of the evaluation the factors mentioned in section 8.1 need to be taken into account such as feasibility, budget etc.

8.2.3 Determining the evaluation questions

Once the purpose and scope statements have been developed, the overarching evaluation questions can be developed. Table 3 indicates how the core evaluation questions could be adapted to consider equity, depending on the type of evaluation.[30] Each purpose will require a different evaluation type and set of evaluation questions, relevant to the phase in the intervention's life-cycle.

Key to integrating transformative equity into any evaluation is the intentional inclusion of the equity dimensions into the evaluation questions that guide the evaluation. The number of equity-focused evaluation questions will depend on the extent to which transformative equity features in an evaluation. Table 4 provides examples of the types of evaluation questions that incorporate an equity lens, based on the specific evaluation type that is relevant, and in italics mention the relevant DAC criteria and equity dimension. Note an evaluation synthesis can draw from a number of evaluations of different types.

The DPME guideline on developing TORs for evaluation projects recommends that the number of evaluation questions is limited to only the most relevant questions.

8.3 Evaluation design

As per the DPME TOR guidelines, the TORs should provide sufficient information about the expected evaluation design to properly enable the service provider to draft a viable proposal and later a detailed methodology. When applying the equity criterion to evaluation planning and implementation, the commissioners, the technical working group (TWG) and evaluators should ensure that the evaluation design is inclusive, looks at system effects, and pays attention to managing the power dynamics between groups and possible conflicts that may emerge in the evaluation.

The evaluation design must enable the evaluator to accomplish the purpose of the evaluation, and in the process to assess the nature and extent of the intervention's influence in relation to equity. It should also enable evaluators to identify which practices or activities can be strengthened in light of their positive impacts on equity and which need to be adapted or phased out. Key elements of design include whether the evaluation is mixed method/quantitative or qualitative; case study;[31] ethnographic; empowerment;[32] realist;[33] or whether a theory-based approach[34] will be used (testing out the theory of change).

The design section of the TORs should specify the extent to which participatory methods are expected, should state expectations for intentional inclusion of diverse stakeholders and

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[30] The NEPF identifies six specific types of evaluation: Diagnosis, Design, Implementation, Outcome, Impact, Economic, Synthesis). These evaluations occur at different stages of an intervention's life-cycle – prior to an intervention, during implementation (formative), and after implementation (summative) – and for different purposes. Annex 3 has more detail on each type of evaluation. There is also a specific guideline on each type of evaluation available at https://evaluations.dpme.gov.za/pages/guidelines-other-resources.

[31] Eg see Yin, (1994)

[32] https://www.betterevaluation.org/en/plan/approach/empowerment_evaluation

[33] https://www.betterevaluation.org/en/search/site/realist

[34] https://www.betterevaluation.org/en/search/site/theory-based%2520evaluation

participants and should take account of historical inequities in terms of power and access to resources.

Therefore, in determining the proposed methodology, commissioners and the TWG ought to consider some of the following:

- How will systemic issues of empowerment and disempowerment be analysed?
- How will the interrelationships between different facets of systems be assessed?
- How will different populations be included in the data collection process? Are we including people with diverse abilities, ages, classes, cultures, ethnicities, families, incomes, languages, locations, races, and sexualities?
- How will power differentials between different groups be managed so that inclusivity and fairness are achieved?
- Are we erecting barriers that may exclude a diversity of people? How do we ensure against such exclusionary actions?
- Are our data collection strategies appropriate for diverse groups and diverse contexts, including providing for preferred modes of communication? This question requires consideration of issues such as language, accessibility and technical literacy.
- How will the power differentials between evaluators and participants be managed so that bias is minimised? Specifically, consideration should also be given to the different manner in which respondents may respond to being interviewed by male or female, younger or older, black or white interviewers. This potential bias underscores why it is critical for evaluation teams to be diverse, and for evaluation teams to engage in on-going self-reflection as to their own biases and assumptions.

As part of the specifications for the evaluation design, the TORs provide guidance on the expected sample, and on approaches to methodology[35], data collection and analysis. When applying the equity criterion to the sample, the TORs ought to state the expectations for including representatives from prioritised beneficiaries as well as other stakeholders or groups that may be affected parties, even if not directly benefitting from the intervention. As far as possible, all evaluations should include key priority populations as part of the sample, including women, young people, persons with disabilities, and those from historically disenfranchised communities. In addition, the evaluation design should specify expectations regarding the potential need for multiple data collection approaches and tools to ensure that all stakeholder groups are equally and meaningfully engaged.

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[35] See Table 6 in Section 9.2 for examples of methodologies to be required in the evaluation

Table 4: Equity-focused evaluation questions by evaluation type[36]

Type	Possible adapted purpose	Equity-focused evaluation questions (and in brackets where these relate to equity dimensions and the six DAC criteria, where relevant)
Diagnostic	What is the current situation and root cause of the problem? *What structural/ systemic inequities contribute to that problem, and what are* possible interventions to address it?	What are the equity needs/ problems that the intervention aims to address (*how*)? Has sufficient attention been paid to the way in which the experienced needs/ problems may differ between population groups (*who*) or geographic locations (*where*), and how the problem manifests (*how*)?
		What is the current discourse on the equity issue of concern (*when*)?
		What are the strengths, weaknesses, opportunities and threats in the current situation, and how can they be leveraged (strengths/opportunities) or addressed (weaknesses/threats) to address inequality or inequity (*how*)?
		What are the potential ways that the needs/ problem could be addressed (*what*)? How will these solutions address the needs/ problems of various population groups (*who*), in geographic locations (*where*), and contexts (*how*)?
Design	Is the logic of the intervention design relevant, robust and likely to work *and how will it contribute to transformative equity*?	Is the design of the intervention inclusive, addressing societal inequities and the need for transformative equity (*what*)? Was equity considered in the intervention design (log frame, activities etc.)? What, if any, are the assumptions made in the design of the programme *(how)*?
		Was there strong and inclusive stakeholder engagement in the consultation for the intervention design, including key priority groups like historically marginalised? (*who,* diversity of stakeholders)?
		Is there a social inclusion plan that outlines the expected equity benefits for communities along with accountability, transparency and inclusion throughout the evaluation process?
		Were the different options for addressing the root causes clear? Is there evidence that these options are appropriate for different priority groups? Is there evidence of options producing any unintended impacts?
		Is there a theory of change explaining the causal mechanism for achieving the desired outcomes and impacts (*what*)? Does the theory of change demonstrate how the intervention aims to facilitate equity and not perpetuate inequities in the system (*how, what)*?
		Is the priority group of the intervention clear and is it clear who benefits and who loses (*who*)?
		Are different population groups (*who*) or geographic locations (*where*) able to participate appropriately and fairly? Do M&E systems capture disaggregated data for various population groups (*who*), geographic locations (*where*) and contexts (*how*) to allow for equity analysis?
		What is the historical perspective of the intervention/context within which the intervention is operating? (*when*)

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[36] Note that each of these evaluations may be applied independently or combined, but evaluation questions may be relevant to several different types of evaluations

Type	Possible adapted purpose	Equity-focused evaluation questions (and in brackets where these relate to equity dimensions and the six DAC criteria, where relevant)
Formative/ Implement-ation/ Process	Is the intervention being implemented as specified, are the outcomes likely to be achieved and why, *and is the intervention likely to result in changes in the equity dimensions*?	How is the implementation of the intervention working in practice and how does this relate to the theory of change in relation to different population groups (*who*), geographic locations (*where*) and contexts (*how*)? Why? (*effectiveness*)
		Have different population groups (*who*) or geographic locations (*where*) been able to participate in the programme appropriately and fairly? (*effectiveness/impact*). How effectively were key priority groups reached? *(who)*
		To what extent has the participation or collaboration between stakeholders demonstrated objectives of transformative equity/principles of inclusion, representativeness, and respect? (*what*) (*effectiveness*)
		What factors influence the way the programmes are implemented (*how*)? What power dynamics are at play (*how*)? (*effectiveness*)
		What are the strengths/enablers and weaknesses/constraints of the programme? How can the strengths / opportunities be leveraged or weaknesses/ threats mitigated to transform inequitable systems (*how*)? (*effectiveness/impact*)
		How might the programme be implemented differently between population groups (*who*), geographic locations (*where*) and contexts (*how*) to address inequality or inequity? (*effectiveness/impact*)
		What equity considerations are reflected in the implementation of the intervention?
		Whose interests are prioritised, and whose neglected? What mitigations are in place to counter inequities?
		How is the context/situation changing for beneficiaries/stakeholders over the period of the implementation? What influence does a shift in context/policy/discourse have on the intervention's likely success? *(when)*
Outcome (Summative)	Have short-term outcomes[37] or medium-term outcomes[38] been achieved as a result of the intervention, *and what have been transformative equity outcomes, intended or unintended*?	To what extent are the emerging short- and medium-term outcomes pointing to systemic changes in equity (*how*)? (*effectiveness/impact*)
		What are the emerging equity outcomes, intended or unintended, and how systemic are these? (*effectiveness/impact*)
		Do the emerging outcomes match the theory of change in terms of how the intervention was intended to promote equity (*what*)? How do these outcomes differ between population groups (*who*), geographic locations (*where*) and contexts (*how*)? Why are the reasons/ explanations for these differences? (*effectiveness/impact*)
		For whom (*who*), in what ways (*how*) or geographic locations and in what circumstances (*where*) is the intervention working? For whom did the intervention not produce the intended results (*who*) and why? (*effectiveness/impact*)
		How much did intended and unintended beneficiaries benefit (*who*)? Which population groups (*who*), geographic locations (*where*) and contexts (*how*)? (*impact*)
		Are these systemic, in that will they make a lasting change to these root causes of inequality and inequity? (Appropriate

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[37] Changes in capacity and systems
[38] Changes in behaviour or performance

Type	Possible adapted purpose	Equity-focused evaluation questions (and in brackets where these relate to equity dimensions and the six DAC criteria, where relevant)
		for systemic evaluations only) (*effectiveness/impact/sustainability*)
		What are the unintended outcomes/consequences that have emerged (positive and negative), if any? *(what),* Did the programme unintentionally/ indirectly benefit/disadvantage one group or location over others? *(who)* (*effectiveness/impact*)
Impact (Summative)	How have beneficiaries' lives changed as a result of the intervention, *and have there been impacts on systemic inequity*? What have been the intended/unintended impacts of the intervention on the intended beneficiary organisation(s), *and how do these relate to transformative equity*?	In what ways are beneficiaries and other stakeholders (including vulnerable individuals, groups or communities) impacted with regard to social, economic or environmental equity considerations? *(impact)*
		To what extent do the outcomes address the symptoms/causes of inequality and inequity (*what*)? Are they systemic and sustainable in that will they make a lasting change for the beneficiaries of intervention? *(when)* (Appropriate for evaluation of individual interventions) (*sustainability*)
		How much of the impact can be attributed to the intervention across different components, population groups (*who*), geographic locations (*where*) and contexts (*how*)? *(impact)*
		In what way has the social or economic system changed as a result of the intervention?
		What further transformative equity impacts can we foresee happening?
Economic	What are the costs in relation to the social benefits? What are the social costs of inaction? Is the programme providing value for money?[39]	How do costs for reaching the worst-off groups compare with average costs for reaching other groups? How do costs for reaching worst-off groups compare with alternative systems?
		What proportion of the expenditure on a programme is going to services to final beneficiaries (*who, how*)? *(efficiency)* To what extent does it differ for population groups (*who*) or geographic location (*where*)? (*effectiveness/efficiency*)
		What is the net social benefit resulting from a programme (*what/how*)? How should this be viewed from an equality and equity perspective? (*impact*)
		What are the opportunity costs of the intervention, the hidden costs beyond the financial costs of the intervention? (*efficiency*)

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[39] To determine whether the programme is providing value for money, specific criteria will need to be determined, especially considering that often costs are higher for reaching worst-off /harder-to-reach groups.

8.4   Stakeholder identification and engagement processes

A section of the TORs should outline the key stakeholders of the intervention, identify their role in the evaluation and their potential use of the evaluation results. Intentional and meaningful engagement of diverse stakeholders remains critical to the success of evaluations and the usefulness of the evidence they produce. The different stakeholders can be identified through a stakeholder analysis. Such an analysis can enable the evaluation managers to ensure that people with diverse abilities, ages, classes, cultures, ethnicities, families, incomes, languages, locations, races, and sexualities are included in the different processes. Table 5 suggests some considerations when identifying relevant stakeholders.

Table 5: Considerations in identifying relevant stakeholder groups

Considerations	Context
Who are the relevant stakeholder groups or individuals affected by the intervention?	Demographics Economic conditions Geographies and access to resources Gender roles
Are there any identifiable groups or subgroups?	Representation of subgroups according to: - Geographic location - Profession/Income - Values - Interests - Race - Age - Ethnicity - Class - Gender - Disability
What are the past and present relationships between groups?	Have there been any past programmes like this? If so, were the programmes successful in achieving their goals? What were the important factors that contributed to the success?
Who trusts whom?	What are the relationship between stakeholders? Do they have conflicting interests?
Who and what groups have power and what is their source of power?	Differentiation between different stakeholders:[40] 1. Primary stakeholders: Who will be affected by the intervention directly (intended) and indirectly? Whose approval is required before the intervention can take place? 2. Secondary stakeholders: Who will be affected by the intervention positively and negatively? 3. Tertiary stakeholders: Who is not directly or indirectly affected but can have significant impact (either positive or negative) on the program by influencing others?
Who are the formal and informal leaders in the field?	Political leaders Religious/faith-based leaders Traditional leaders Business forums
How do people exchange information?/Communication methods/Feedback and reporting systems	The focus should be on effective communication methods Identify potential barriers to communication Re-establish broken relationships and re-create a connection with stakeholders The use of an external facilitator for communication might be useful

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[40] https://pdf.usaid.gov/pdf_docs/PA00T9XH.pdf

Considerations	Context
	Determine which sorts of communication tools or media stakeholders may require further training in so that they can use them effectively
Does the influence of stakeholders change?	What factors can shift the sphere of influence?
What else is important in this particular field?	Are there any other important factors that could influence the outcome of the intervention?

Additionally, the TORs should describe expected processes for engaging with stakeholders that ensure inclusivity, responsiveness and awareness of power dynamics. The TORs should provide clear guidance regarding the inclusion of priority populations on advisory bodies.

In any evaluation process, there are multiple role players. Typically, government-commissioned evaluations are managed by a steering committee, which sets the TORs and oversees the submission and approval of deliverables. Typically, the programme manager chairs the Steering Committee, so seeking to maintain ownership of the evaluation and its findings. The Steering Committee holds the responsibility to consider the scope of the equity considerations and to set expectations for ensuring equitable participatory practices during the evaluation process. A TWG is often needed to address the technical day-to-day management of the evaluation. The TWG reports to the steering committee. Ideally, the steering committee should include some members representing broader stakeholders of interest and be diverse in composition.

There are many ways of engaging with stakeholders such as community consultations, focus group discussions, and stakeholder validation meetings.

To make these engagements responsive and equitable, the people leading such engagements need to know how to make the process inclusive. Ways of making meetings inclusive and more equitable include:
- Engaging through more than one means;
- Creating a conducive and safe environment;
- Ensuring that the times of meetings work for everyone who wants to attend;
- Holding multiple meetings at different time of the day to allow for broader participation;
- Establishing intentional rules, e.g. giving representatives of different groups equal allotted time to speak;
- Making sure that documentation is provided in formats and languages that make them accessible to the stakeholder groups.

8.5 Budget considerations

Adding an equity lens to evaluations may come with additional costs due to the need to engage a broader range of stakeholders, potentially with a larger sample size to be able to say something statistically significant for different groups, and the need to translate data collection tools and evaluation products into multiple formats and languages so as to be inclusive and responsive.

It is therefore critical to specify in the TORs the required processes that integrate the equity criterion into the evaluation and those processes that are preferred. In addition, the scope, overarching evaluation design, and plans for post evaluation community engagement should match the available budget. A key factor missing from most evaluations is an adequate communications budget to validate and share the results with stakeholders. Donors often suggest 10% of evaluation and research budgets should be allocated to communication.

8.6 Service provider competencies

The description of the desired evaluation team should clearly state the types of competencies, experience and diversity needed on the team so that the evaluation team is representative and able to understand system dynamics and respond effectively to the issue at hand.

Ideally, the evaluation team should demonstrate a keen understanding of the equity dynamics present in the intervention and context and take intentional steps to ensure inclusivity, representation and responsiveness in the different evaluation steps. Ideally, at least one sector specialist should have some experience in human rights-based approaches. This should come through in the proposal but ideally the evaluator should demonstrate they have some previous experience related to applying an equity lens to evaluation.

Evaluation teams can respond to equity in the following ways:

- *Project manager*: Responsible for overall project management, quality control and client liaison. It is important that this person has a strong understanding of addressing equity in evaluations and demonstrates self-awareness of their power and value systems in relation to the intervention and evaluation participants.

- *Evaluation specialist*: A person with strong knowledge of evaluation theory and practice; ideally this person has experience in responsive evaluation approaches that ensure inclusivity and representativeness, and that are insightful in exploring issues of power and access to resources.

- *Sector expert*: A person or persons with strong sector knowledge and experience; ideally sector experts have experience in engaging with diverse stakeholders, and in understanding how issues of power play out in the sector.

9 Evaluation management and implementation

9.1 Managing evaluations

As stated in section 8.4, evaluations are managed by a TWG and a steering committee, with the TWG providing day-to-day management of the evaluation and reporting to the steering committee. The steering committee is key for governance and approving of all key deliverables and is responsible to ensure that evaluations incorporate a transformative equity lens.

9.2 Evaluation plan

The *inception phase* is the key initial phase of the evaluation process. The inception phase is an opportunity to further clarify the TORs, particularly any areas of uncertainty in relation to the scope, the evaluation questions, the process, any technical concerns, aspects of equity, resource requirements and time frame for deliverables. It is also important to discuss the accessibility of the information and the data, and alternative methods if data is unavailable. The expected output from this phase is an inception report and expanded evaluation plan, which will include a detailed methodology.

It is quite possible that the intervention being evaluated has not collected relevant equity-related data (e.g. data on income levels, gender, inclusion of historically marginalised populations, spatial dimensions), which affects the evaluability of these aspects. If widespread data is not available, there may need to be *purposive sampling*, for instance to identify examples where positive/zero/negative equity consequences have been found, and to explore what has happened and the causal factors in those instances. Such an assessment would be useful in a formative way to suggest why particular equity effects may be happening, or point to how designs can be improved, but would not allow for generalisations of impact.

The *data collection instruments and protocols* need to cover suitable questions and the process should promote the equity principles of inclusivity, respect for human dignity and equality, and awareness of power. Such considerations include whether it is best to collect data individually or in groups, whether groups should include only people of the same sex or mixed sexes, people of the same age or mixed age groups, or whether groups should also be stratified by age, geographical location, economic status, etc. Integrating equity into data collection tools requires an examination into the way questions are presented, to ensure that the language is accessible, inclusive and respectful. For example, questions on a data collection tool should use locally recognised symbols or terminology and be sensitive to potentially different meanings that males and females, younger or older people might give to the same terms.

Additionally, data collection protocols will need to reflect local contexts and be designed so that less-empowered groups feel empowered to speak freely. *Piloting* data collection tools with prioritised populations would be helpful in this regard. Table 6 provides a list of different methodologies and how they can be used to examine transformative equity.

Table 6: How different methods can be used to explore transformative equity aspects

Method	Potential application
Critical discourse analysis	Critical discourse analysis promotes a broad assessment of language and discourse to understand the existing systemic mechanisms that maintain power relations and inequities. Critical discourse analysis provides one option for a critical examination of the systems within which an intervention is situated and is aimed at addressing.
Literature review	The inclusion of equity-related references into the broader literature review for the evaluation should include well-selected resources that provide research evidence about the impacts of/link between the type of intervention and equity dimensions. This should serve to contextualise and legitimise the equity dimension of the evaluation. If a synthesis is being done then this element becomes more formalised in terms of method, especially if the results of many studies are to be included, in which case a systematic searching and screening process is needed.[41]
Document review	As with the literature review, key national/provincial/local equity-related policies, plans and strategies should be highlighted briefly in order to contextualise/legitimise the equity component of the evaluation, to assist with understanding policy context, and later to determine policy relevance and appropriateness when evaluation analysis is undertaken and conclusions reached.
Content analysis	As part of the document review during the inception phase, intervention documents, e.g. the project/programme proposal, TORs or progress reports, can be searched for any terms relating to equity, inequality, power relations, spatial differentiation, marginalised groups, etc. in order to ascertain the nature and extent of any reference to equity-related considerations.
Secondary data	It is key to have disaggregated data by gender, age, ethnicity, location, etc which allow for a differentiated view on who is benefiting and who is losing. This might include population data, e.g. from the census or household surveys, as well as intervention-produced data.
Development of theory of change	Developing the theory of change of the intervention is a key moment to explore how this does or does not take equity issues into account, and to explore what assumptions and linkages may need to be considered to cover equity issues. This is critical if a

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[41] As is used for systematic reviews. Look at DPME guideline on synthesis http://evaluations.dpme.gov.za/images/gallery/Guideline%202.2.15%20Evaluation%20Synthesis%20accepted%2014%2003%2020.pdf

Method	Potential application
	theory-based evaluation design is considered.
Stakeholder analysis (See Box 2)	It may be useful to conduct a stakeholder analysis to analyse different stakeholders, the power and influence they have, their interests, and potentially how they are affected by or affect equity.[42] This would include establishing who the key policy/programme/project/service delivery informants are – these are usually the custodians, managers, implementers, and major stakeholders who are involved in day-to-day oversight and implementation.
Key informant interviews	Key informants should be able to provide insights into the nature and extent of equity-related awareness within the intervention sphere and among intervention actors, and whether any equity considerations are officially part of the intervention design or informally part of intervention activities and practices. This assessment should go beyond simple ethnic issues to look at deeper systemic issues. Key informants could also help to identify which stakeholders/beneficiaries are, or are likely to be, impacted by equity considerations, those who are in a position to facilitate or obstruct changes in relation to transformative equity, etc.
Focus group discussions	Focus group discussions allow for rich qualitative data to be collected from participants and stakeholders. Given that focus groups bring different stakeholders together in one space, they give evaluators the opportunity to observe power dynamics in stakeholder or beneficiary groups, as well as triangulate responses across participants.
Workshops/ participatory exercises	These can be used as core methods for working with intervention implementers/managers as well as beneficiary groups during the inception phase of the evaluation to ascertain (1) levels of awareness/understanding about equity-related issues; (2) who has power or not in influencing the intervention activities; (3) what practices have been implemented to address this; 4) what equity outcomes are being experienced or anticipated. At a later stage of the evaluation (e.g. as part of communicating findings), workshops could be held with the same groupings again in order to communicate recommendations, brainstorm ideas, provide training around what practices/changes could be introduced in order to reduce/mitigate negative equity impacts and make positive contributions.
Participatory research exercises	These could be undertaken with community members/beneficiary groups to understand how equity and power-related issues affect their lives, where these are occurring, and to build community ownership of the research process.[43]
Direct observation	Directly observing the day-to-day activities of the intervention could provide very useful insights and data about equity-related activities and practices.
Surveys	Surveys could include questions about whether equity considerations are considered, happening or anticipated, as well as changes in power relations. Surveys also provide broader demographic data which be useful in relation to the "who" dimension. Survey questions need to allow findings to be disaggregated to reveal different outcomes and costs across different groups.
Cost analysis	All too often evaluations do not pick up cost data, while they may pick up benefit data. Both are needed for a cost-benefit or cost-effectiveness analysis. The five equity dimensions are helpful when distinguishing benefits and disbenefits.[44]

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[42] Some resources on stakeholder analysis are here
https://www.betterevaluation.org/en/search/site/stakeholder%20analysis
[43] The International Institute for Environment and Development (IIED) has published many articles around this, including toolkits.
[44] Tulloch (2019) explores identifying costs. https://doi.org/10.1080/19439342.2019.1684342 . There is also a DPME guideline on economic evaluation
http://evaluations.dpme.gov.za/images/gallery/Guideline%202.2.15%20Economic%20Guideline%20%2014%20200 3%2020%20docx%20%20-%20Copy.pdf

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9.3   Field work

The protocols and the way in which data is collected in the field has great implications for the quality of data obtained. Evaluators will need to be attuned and responsive to factors that might influence involvement of different groups in the evaluation process due to their access to resources and perceived position of power. Socio-cultural norms may also affect the engagement of different groups, e.g. persons in a community discussion may not want to contradict the opinion voiced by a community elder out of respect for that elder's position in the community.

In the field, the evaluation team requires a range of interpersonal and adaptive skills to ensure that the planned processes are followed and that the principles of inclusivity, fairness and respect are upheld. Therefore, evaluation teams need to consider the extent to which they are providing adequate space for expression of multiple ways of relating and knowing. Skills required include trust-building and relational skills to foster spaces in which participants feel comfortable to share experiences and perspectives. They also include discernment and flexibility, such that field workers can identify when respondents are withholding information due to the social norms of the specific setting and can modify the data collection approach (e.g. provide a separate meeting area or time for female farmers apart from males).

9.4   Data analysis

When conducting data analysis, evaluators should ensure that the views of all who participated in the evaluation are well covered and appropriately represented. The lead evaluator should ensure that applied data analysis techniques do not exclude views that are contrary to the objectives of the programme, nor exclude views of the more marginalised or excluded. The selection of data analysis techniques and instruments should be inclusive and transparent. Results should be analysed by key disaggregated groups, as dictated by the evaluation questions. This includes analysis by gender, age groupings, regions, income levels or other ways of describing issues of equity.

In the analysis process, the evaluation team can ask themselves the following questions:

- Are we using a transformational paradigm[45] or a positivist paradigm[46]? What are the reasons for the choice? Are we trying to empower the beneficiaries/marginalised in the process?
- Can we analyse the data across the specific dimensions of the criteria?
    (1) Population/populace: Who benefits, who loses; who is included, who is excluded ;
    (2) Cause and effect: How does inequity play out, and how is the intervention responding to inequality;
    (3) Space: Where do key inequities persist and what are the geographical and spatial factors affecting equity;
    (4) Content and intention: What do interventions actually do in relation to inequality;
    (5) Timing: How has the equity issue changed over time; how does the timing of the intervention/evaluation affect usefulness/uptake of findings.
- How are we analysing the needs of different groups? How are we determining the outcomes and how they affect different groups? Do we have explanations as to why

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[45] According to Donna Mertens (2007), "the transformative paradigm with its associated philosophical assumptions provides a framework for addressing inequality and injustice in society using culturally competent, mixed methods strategies." https://journals.sagepub.com/doi/10.1177/1558689807302811

[46] Positivist paradigm assumes that there is one definitive reality and that explanations for phenomenon can be ascertained through objective observation and experiment. Positivism places large emphasis on quantifiable data.
https://journals.lww.com/academicmedicine/fulltext/2020/05000/the_positivism_paradigm_of_research.16.aspx

there may be different outcomes?
- What is the scale of unintended outcomes/consequences discovered (positive/negative), experienced by different groups/locations/ circumstances?

It is important that the evaluation design, methodology and analysis remain as rigorous as possible so that findings are evidence-based. However, commissioners and evaluators will often require mixed-methods approaches in order to understand quality issues as well as quantity, to understand reasons why, and to reflect and honour the diversity of community perspectives, so that the evidence is as robust as possible and can be used to explain performance and suggest how to improve.

9.5 Validation of findings

It is important that the evaluation findings and recommendations are validated by stakeholders. This can be in the form of a validation workshop, in which case the participants should be carefully selected to include groups differently affected by the intervention, as well as stakeholders with a diversity of views. The process should encourage participation by all groups and create meaningful interaction with the findings and the potential to make recommendations.

10 Bringing equity into the follow-up to the evaluation

10.1 Improvement plan and progress report

Once the evaluation report has been endorsed by the evaluation steering committee an improvement plan should be developed, workshopping the findings and recommendations with stakeholders and planning how to address the issues raised. The same considerations of involvement of beneficiaries, stakeholders, etc applies to the improvement plan workshop where actions to address the findings and recommendations are developed. To address power relations, it may also be necessary to convene subgroups to allow for discussions in different languages, and to ensure that representatives of beneficiaries feel empowered to contribute.

The improvement plan should be context specific and include actions to promote equity within the boundaries of the intervention. As per the NEPF, the improvement plan should be time bound and tracked for progress. It must describe what activity needs to be done, by whom, how, and by when.

10.2 Communicating the results of the evaluation

In keeping with the principles of inclusivity and participation, it is of utmost importance that results from evaluations are timeously shared with the public, particularly beneficiaries and those affected. Therefore, communication of evaluation results should be factored into the evaluation budget. This is often a problem in government evaluations where there is insufficient communication capacity in departments to take on the extensive engagement to get full value from the evaluation.

Communication of evaluation results ought to be conducted in a manner that is accessible, relevant and meaningful to stakeholders and provides them opportunity to contribute effectively, provide feedback and use the results in their processes. Different means of communication can be used with beneficiaries and other stakeholders, depending on their location and access to information, including: virtual and face-to-face meetings and workshops; print; mass media (particularly local and community radio); and social media platforms, particularly for youth. Previous considerations of technological access and literacy apply.

Results ought to be presented in multiple accessible formats, such as briefs, written reports, and presentations, formal as well as informal, so that all participants have the opportunity to learn about what was found as a result of the data collected. For example, evaluation products released online may exclude some key stakeholders due to the digital divide, and technical reports are not necessarily accessible to community groups.

Think tanks can be very helpful knowledge brokers sharing reports and briefs in their networks. In view of the power dynamics within communities, commissioners and evaluators must also consider the key gatekeepers who will enable or block communication. Community members may be able to take the findings from the data analysis and develop their own follow-up interventions, and this feedback is very useful in refining an evaluation report or preparing an improvement plan.

11. Summary

The purpose of this guideline is to introduce an evaluation criterion on transformative equity and to support evaluation commissioners and practitioners in applying this criterion to evaluations. This guideline defines the criterion and its five dimensions, proposes key principles that underlie the application of transformative equity to evaluation, and demonstrates how transformative equity can be integrated into the evaluation process from the development of the TORs through to the validation of findings and use of findings in decision-making and further programming. This guideline aims to contribute to the South African National Evaluation System and the government's broader transformative development aspirations, outlined in the National Development Plan (2012).

The guideline provides some suggestions for how commissioners and evaluators can apply transformative equity to evaluations. Key points include:
- The importance of ensuring inclusivity and fairness throughout the evaluation process, through meaningful engagement of diverse stakeholders and intentional engagement with those from historically marginalised or discriminated groups;

- Considerations for how to modify purpose statements and evaluation questions to include the dimensions of the equity criterion;

- The importance of engaging in systems-thinking to see the intervention in its relationship within a much broader and intersecting system;

- The importance of reflecting on power-relations within the intervention and within the evaluation process, and the need to reflect on the ways that the evaluation process itself can promote transformative equity.

The guideline and supporting documents will be piloted and continually improved and strengthened.

Annexes

Annex 1: References

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Annex 2: Contributors and reviewers

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Annex 3: The purpose of the six types of evaluation

Type	Overview
Diagnostic	Defined as preparatory research (ex-ante evaluations), these evaluations are conducted when there is an intention to implement an intervention, to direct the design (or redesign) of a policy, project, programme or plan. It explores the current situation, the problems and opportunities to be addressed, the root causes and consequences, including those that the intervention is unlikely to deliver, and the likely effectiveness of different interventions or policy options.
Design	Design evaluations review the theory of change, inner logic, and consistency of a programme to assess whether the design of the intervention is as robust as possible, and the likelihood maximised that it will make a significant difference to the prioritised beneficiaries, efficiently and sustainably.
Implementation/ process	An assessment of programme delivery, strategies, procedures and processes, implementation evaluations are an essential part of effective programme management and are used to understand how a policy, plan or programme is working, and how the efficiency and efficacy of operational processes may be improved.
Outcome/ Impact	Impact evaluations aim to measure changes in outcomes (and the well-being of the priority populations) that are attributable to a specific intervention by assessing the causal linkages between an intervention and identified changes, usually comparing with a counterfactual
Economic	This type of evaluation assess the viability of a project based upon economic and social welfare improvements (not financial viability). It: - Identifies which of competing interventions/ components of programmes maximise outcomes; - Identifies winners and losers amongst different stakeholder groups, including assessing the equity and pro-poor; - Determining efficient budgetary allocations given resource constraints
Synthesis	These evaluations focus on synthesizing results of a spectrum of evaluations, in order to generalise findings across government/ programmes etc. It helps explain It can explain how, and under what conditions, what type of programmes do (and do not) work

Annex 4: Applying the equity criteria to TORs – case studies

These case studies are intended to show how the TORs for an evaluation can be adjusted to take on equity considerations, using evaluations that have been completed and seeing how the TORs could be adjusted.

Three interventions have been selected as examples:
- An economic intervention which could be transformative from an equity perspective – Smallholder farming;
- A social development intervention – the National School Nutrition Programme;
- An example of an intervention explicitly targeting equity – Social Housing Programme.

A4.1 Economic intervention - Applying the equity guideline to the Diagnostic Evaluation of the Government Supported Small Holder Farmer Sector[47]

Original TOR	Possible changes to take on Transformative Equity (in italics)
1.2 Purpose of the evaluation	
This evaluation will synthesis the lessons from relevant existing evaluations to develop the basis (diagnostic) for a coherent overall policy framework to support smallholder farmers	This evaluation will synthesise the lessons from relevant existing evaluations to develop the basis (diagnostic) for a coherent overall policy framework to support smallholder farmers *that strengthens both their productivity and contributes to the development of equitable and sustainable rural communities.*
2 Focus of the Evaluation	
2.1 Evaluation Questions	
2.1.1 **Focus** - How are smallholder farmers defined within these programmes? How has this affected the design, development, implementation, and coordination of these programmes (positively or negatively)? What definitions of smallholder farmers should we use going forward (ranging from household gardening to small-scale commercial)?	2.1.1 **Focus** - How are smallholder farmers defined within these programmes? *Who is considered a smallholder farmer, and who is not? What are the race, gender and power dynamics in these definitions/populations?* How have the definitions/categorisation of smallholder farmers affected the design, development, implementation, and coordination of these programmes (positively or negatively)? What definitions of smallholder farmers should we use going forward (ranging from household gardening to small-scale commercial)?
2.1.2 **Objectives and measures of effectiveness and sustainability** - What are the objectives of the different programmes. How should we view success/impact – sustainable farmers, income, food security, environmental issues? Which smallholder farmers have been addressed, which have been successful, which not and why? What evidence is there of impact on these target groups? How much did this cost per	2.1.2 **Objectives and measures of effectiveness and sustainability** - What are the objectives of the different programmes? *To what extent did the objectives of the intervention specifically integrate transformative equity?* How should we view success/impact in these programmes – sustainable farmers, income, food security? Which smallholder farmers have been addressed, which have been successful, which not and why? *What evidence is there of impact on these prioritised groups in regards to issues of systemic barriers that lead to inequities in*

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[47] The TORs, reports and quality assessment are available here
https://evaluations.dpme.gov.za/evaluations/520

Original TOR	Possible changes to take on Transformative Equity (in italics)
success unit?	*wealth?* How much did this cost per success unit?
2.1.3 **What evidence was used** - To what extent and in what manner has research and development informed the development of these programmes or what alternative approaches is current research suggesting? (Including looking at studies in other African and other middle-income countries with which RSA can compare).	No alterations
2.1.4 **Services** - What services/interventions are provided and to whom and what is the underlying theory of change? What processes do smallholder farmers follow to access programmes (between and within the departments)? How are services for different commodities addressed (cash crop; livestock, horticulture, forestry & fisheries) by smallholder farmers? What are the lessons learnt? Should support programmes be customised according to commodities?	2.1.4 **Services** - *What services/interventions are provided and to whom? How do these services/interventions differ across different groups/regions? What contributes to these variations? What is the underlying theory of change and to what extent does it include systemic-level changes in land distribution, infrastructure, availability of supports etc that would enable greater equity in the sector? Who determined the services/interventions that would be available to smallholder farmers? To what extent has there been inclusive stakeholder engagement in the different interventions?* What processes do smallholder farmers follow to access programmes (between and within the departments)? How are services for different commodities addressed (cash crop; livestock, horticulture, forestry & fisheries) by smallholder farmers? What are the lessons learnt? Should support programmes be customised according to commodities?
2.1.5 **Success factors** - What are the key success factors and shortcomings of current programmes e.g. market access, insurance. How far did they manage for risks such as foot and mouth, climate change etc.?	2.1.5 **Success factors** - What are the key success factors and shortcomings of current programmes e.g. market access, water licence/water access; silos; insurance. How far did they manage for risks such as foot and mouth, *climate and ecosystems health; high inflation rates affecting costs of production etc.?*
2.1.6 **What support is needed for different target groups?** To what extent does everyone who accesses land want/know how to farm? What change is needed in target groups, selection criteria, and services for these target groups? Are different theories of change needed for different groups and what should they be so as to ensure the likelihood of sustained and cost-effective improvements in productivity, income, environmental sustainability and cost-effectiveness of support programmes?	2.1.6 **What support is needed for different target groups?** To what extent does everyone who accesses land want/know how to farm? What change is needed in prioritised groups, selection criteria, and services for these prioritised groups? Are different theories of change needed for different groups and what should they be so as to ensure the likelihood of sustained and cost-effective improvements in productivity, income, promotion of *climate and ecosystems health, greater equity and development in rural communities,* and cost-effectiveness of support programmes

Original TOR	Possible changes to take on Transformative Equity (in italics)
2.1.7 **Institutional arrangements** - What coordination structures exist to ensure integrated support across departments and stakeholders including the private sector? What lessons emerge around the strengths and weaknesses of the institutional arrangements, administrative processes and procedures?	2.1.7 **Institutional arrangements** - What coordination structures exist to ensure integrated support across departments and stakeholders including the private sector? What lessons emerge around the strengths and weaknesses of the institutional arrangements, administrative processes and procedures? *To what extent do these structures ensure inclusivity and awareness of differential power dynamics at play between smallholder farmers and others in the agricultural sector?*
2.1.8 **Efficiency** - What lessons emerge around the effectiveness and efficiency of resources used by these programmes, including the skills of staff and infrastructure, and how this should be revised going forward?	2.1.8 **Efficiency** - What lessons emerge around the effectiveness and efficiency of resources used by these programmes, including the skills of staff and infrastructure, *how this related to services for different groups including those included and excluded,* and how this should be revised going forward? *Any differences based on different groups/region?*
2.1.9 **Managing risks** - What do we need to do to address risks and improve the resilience of smallholder farmers?	2.1.9 **Managing risks** - What do we need to do to address risks and improve the resilience of smallholder farmers, *including sub groups such as women or child-headed, those headed by individuals living with disability*, etc *including their ability to manage income shocks and climate related shocks?*
2.1.10 **Proposed approach going forward** - Based on the above what should be the key target groups going forward, and the approach and types of services provided for each? Who should provide these services? What institutional mechanisms will be needed and what resourcing? How should the current suite of interventions be changed to address these? What does this imply for the roles to be played by key actors including DAFF, DRDLR, provincial departments of agriculture, private sector, NGOs?	2.1.10 **Proposed approach going forward** - Based on the above, who should be the key prioritised groups going forward, *attending to key priority populations and capacity/interest levels; and what approaches and types of services should be provided for each to secure their livelihoods in a manner that supports development of vibrant, equitable and sustainable communities?* Who should provide these services? What institutional mechanisms will be needed and what resourcing? How should the current suite of interventions be changed to address these? What does this imply for the roles to be played by key actors including DAFF, DRDLR, DFFE, provincial departments of agriculture/environment, private sector, NGOs?

A4.2 Applying the equity guideline to the implementation evaluation of the National School Nutrition Programme[48]

Original TOR	Possible changes to take on Transformative Equity
2 Purpose of the evaluation	
The main purpose of the evaluation is to assess whether the NSNP is being implemented in a way that is likely to result in significant health and educational benefits to primary school learners.	The main purpose of the evaluation is to examine how the NSNP is being implemented across the country, and the likely health and educational outcomes for school learners*, notably for poorer schools and the most vulnerable learners.*[49]
3 Focus of the Evaluation	
3.1 Evaluation Questions	
1. Is the programme implemented as planned?	
2. Are operational procedures effective to ensure the timely delivery of food?	2. Are operational procedures effective to ensure the timely delivery of food*? How do these differ across the different regions of the country and in poorer vs better resourced schools? What are the contextual factors that are at play in the timely delivery of food?*
3. Are learners receiving quality meals and services?	3. Are learners in the schools receiving quality *and healthy*[50] meals? *Does the quality of meals differ across the different regions of the country or by quintile group? What factors are at play that explain variation in the quality of meals served to learners?*
4. What are the variations of implementation at different sites or by different provinces?	4. *How does* implementation vary at different sites or by different provinces? *What are the broader contextual factors that contribute to these variations (e.g. quality of infrastructure, presence of local farms or availability of water resources; what are the differences between schools in urban, peri-urban and rural areas)?*
5. Is the programme reaching the intended beneficiaries?	*5.* Is the programme reaching the intended beneficiaries? *What are the experiences of different beneficiaries in different areas of the country? Who is not benefitting from the programme but should? What are the barriers to covering all categories? What can be learned from positive/inclusive schools?*
6. Is there evidence that NSNP enhances learning behaviour? (Likely Impact of the Programme)	
7. Are there other spinoffs of the NSNP	7. Are there other spinoffs of the NSNP*, particularly for disadvantaged learners, schools and provinces?*

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[48]https://evaluations.dpme.gov.za/evaluations/528/documents/6f7ea0c6-ce75-4852-b5cf-db83ef46eb65

[49] Note this could be in learning outcomes and in relation to school completion, which is a predictor of further education and employment. For example see Awad. 2020. From school to employment; the dilemma of youth in Sub–Saharan Africa https://doi.org/10.1080/02673843.2020.1778492

[50] Quality and healthy would need to be defined, and this could include for example food free from pesticides.

Original TOR	Possible changes to take on Transformative Equity
8. Should NSNP be up-scaled? How can it be strengthened and up-scaled for better impact?	8. *How can the NSNP be strengthened to better impact learners' health and development? How can the NSNP be expanded while ensuring broader positive impacts on the persistent inequities in the education system?*
	9. *How is the NSNP contributing to broader national goals of equitable development?*

A4.3   Equity-focused intervention - Social housing[51]

Original TOR	Possible changes to take on Transformative Equity
2 Purpose of the evaluation	
The purpose of this evaluation is to assess the extent to which the social housing programme is contributing to urban restructuring (integrating and revitalising neighbourhood spatially, socially and economically) and providing affordable quality rental accommodation to the target market and thus generating value for money, and assess the sustainability of the delivery model. The evaluation will contribute to the rental housing policy revision process.	*(No alterations)*
3 Focus of the Evaluation	
3.1 Evaluation Questions	
Impact	
1. To what extent have the social housing projects that have been implemented contributed to the achievement of spatial, economic and social restructuring policy goals?	1. To what extent have the social housing projects that have been implemented contributed to the achievement of spatial, economic and social restructuring policy goals? 2. *How does this differ by region and by different priority groups? Have all prioritised groups benefitted equally?* 3. *Is there evidence that tenants are able to use social housing as a springboard to improve their livelihoods?*
Implementation questions	
2. How have Restructuring Zones (RZ) been identified by municipalities and which factors/ criteria determine the identification of a RZs and is this in line with the specified criteria? • Have the published RZs also been identified as urban restructuring/regeneration/revitalisation areas?	4. How have Restructuring Zones (RZ) been identified by municipalities and which factors/ criteria determine the identification of a RZs and is this in line with the specified criteria? *What equity-related criteria have been used?* • Have the published RZs also been

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[51]   https://evaluations.dpme.gov.za/evaluations/519/documents/18236361-dc20-4b52-8843-4e61dbaf94b8

Original TOR	**Possible changes to take on Transformative Equity**
• How has the structuring of public roles and responsibility and the finance in the agreed restructuring zones offered incentives to private finance? • What planning has gone into these areas about tipping markets (getting the right level of investments) such that they produce the desired medium term private commercial and residential investment?	identified as urban restructuring/ regeneration/revitalisation areas? *What equity-related criteria have been used?* • How has the structuring of public roles and responsibility and the finance in the agreed restructuring zones offered incentives to private finance? • What planning has gone into these areas about tipping markets (getting the right level of investments) such that they produce the desired medium term private commercial and residential investment *and overcome skewed and unequal housing markets*?
3. To what extent have SHIs developed capacity to deliver at scale and build a financially viable model? • Has the requirements and rigour of the SHRA SHI accreditation been adequate to address their viability? • Are SHIs in the RCG subsidised projects building up reserves (maintenance and equity) as required and according to the results of the project viability assessment? What are the reasons in case of deviations? • What measures are put in place to support SHIs in the sector and how effective are these? • What is the relation with the municipality/local authorities and have annual performance agreements been implemented? • What are the average vacancy, rent arrear levels and bad debt write offs over the past 12 months and what is the related loss of income?	3. To what extent have SHIs developed capacity to deliver at scale and build a financially viable model? • As to the left plus: • *How do rent arrears and bad debts relate to socio-economic profiles of renters?*
4. Is the programme able to respond to the complex and growing need for affordable rental in SA and to what extent are the tenants satisfied with the product? • How effective has the programme been in reaching its targeted population? What was the income mix just after the project was implemented and what is the income mix at this point in time? • What were the rent levels just after completion and what are the rent levels at this point in time? Which factor(s) determine the rental increase per SHI? • What is the turn-over in the RCG subsidised projects and what are the reasons of former tenants to vacate the units?	4. Is the programme able to respond to the complex and growing need for affordable rental in SA and to what extent are the tenants satisfied with the product? • As to the left plus: • *How does this relate to tenants' socio-economic profile?*

Original TOR	Possible changes to take on Transformative Equity
• What is the percentage of tenants paying a different rental price for the same unit? • What is the impact of the rental increase on the affordability especially for the primary target market?	
5. How effective have been the monitoring and oversight system for social housing programme and how can this be strengthened?	5. How effective have been the monitoring and oversight system for social housing programme and how can this be strengthened? *Is this picking up adequately the socio-economic profiles of tenants?*
Value for money	
6. Is the programme generating value for money?	6. Is the programme generating value for money? *What are the cost benefits for renters with different socio-economic profiles?*