



**BTC SOUTH AFRICA**  
BELGIAN  
DEVELOPMENT AGENCY



**national treasury**  
Department:  
National Treasury  
REPUBLIC OF SOUTH AFRICA

# ANNUAL REPORT 2016

## BELGIAN – SOUTH AFRICAN STUDY AND CONSULTANCY FUND

### INTERVENTION SAF0901711

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## Acronyms

|        |   |
|--------|---|
| APEC   | Antwerp/ Flanders Port Training Center                        |
| BTC    | Belgian Technical Cooperation, the Belgian Development Agency |
| BTO    | Budget and Treasury Office                                    |
| COGTA  | Department of Co-operative Governance and Traditional Affairs |
| DOH    | Department of Health  |
| DG     | Director-General  |
| DPSA   | Department of the Public Service and Administration           |
| DPME   | Department of Planning, Monitoring and Evaluation             |
| DoH EC | Department of Health Eastern Cape                             |
| EV     | Emerging Voices   |
| FIT    | Financial Information Tool                                    |
| GDP    | Gross Domestic Product  |
| HIS    | Health Information Systems                                    |
| HR     | Human Resources   |
| HSG-SA | Health Systems Global – South Africa                          |
| HSR    | Health Systems Research                                       |
| IDC    | International Development Cooperation                         |
| IRDC   | International Development Research Centre                     |
| ITM    | Institute of Tropical Medicine                                |
| JLCB   | Joint Local Consultative Body                                 |
| M&E    | Monitoring and Evaluation                                     |
| MFMA   | Municipal Finance Management Act                              |
| MRC    | Medical Research Council                                      |
| NDoH   | National Department of Health                                 |
| NHI    | National Health Insurance                                     |
| NT     | National Treasury   |
| OMF    | Operations Management Framework                               |
| PFMA   | Public Finance Management Act                                 |
| RHIS   | Routine Health Information System                             |
| SA     | South Africa  |
| SCM    | Supply Chain Management                                       |
| SOP    | Standard Operating Procedures                                 |
| SIDA   | Swedish International Development Cooperation                 |
| TETA   | Transport Education and Training Authority                    |
| ToR    | Terms of Reference  |
| UC     | Universal Coverage  |
| UNICEF | The United Nations Children's Fund                            |
| UWC    | University of the Western Cape                                |
| WHO    | World Health Organization                                     |



# 1 Intervention at a glance

## 1.1 Intervention form

|                             |   |
|-----------------------------|---|
| Intervention name           | Belgian-South African Study and Consultancy Fund  |
| Intervention Code           | SAF0901711  |
| Location                    | National Treasury   |
| Budget                      | € 2.092.207,33 + € 869.884,67 = € 2.962.092,00  |
| Partner Institution         | IDC   |
| Date of Specific Agreement  | 16 April 2010   |
| End date Specific Agreement | 15 April 2018   |
| Objective                   | Strengthen the capacity of public institutions of South Africa, on the one hand in support of the prioritised sectors of the Belgian cooperation and the preparation of a new indicative program of cooperation, and on the other hand through the implementation of the Paris Declaration on harmonisation and alignment of aid. |

## 1.2 Budget execution

| Total Budget   | Expenditure year N | Balance        | Total Disbursement rate |
|----------------|--------------------|----------------|-------------------------|
| € 2.962.092,00 | € 432.214,81       | € 1.339.646,89 | 45,66%                  |

| National execution official  | BTC execution official  |
|--|---|
| <br><b>ROBIN TOLI</b><br>Fund Director<br>Chief Director<br>International Development Cooperation | <br><b>LAURENCE JANSSENS</b><br>Fund Co-Director<br>Resident Representative<br>Belgian Development Agency |



## 2 Context

### 2.1 General context

At the Consultations held in Brussels on 10 May 2012 it was decided to terminate the bilateral agreement of the second phase of the Health Capacity Building Project. Following this meeting the National Treasury submitted a formal request to the Belgian Development Counsellor, on the 25th June 2012, for the re-allocation of the budget balance of this project to the Study and Consultancy Fund. This amounted to €1,995,001.28.

Due to the slow implementation of the Study and Consultancy Fund during 2011-2013, the allocation of this additional budget to the Study and Consultancy Fund was delayed.

In March 2014 the Development Counsellor requested for National Treasury to re-consider the allocation of this additional budget and to split this into € 1.100.000 to the Scholarship Programme for 2014 and the balance of € 895,001.28 to the Study and Consultancy Fund. This proposal was accepted by the National Treasury on 12 March 2014 and by the Partner Committee on 25 November 2014.

Through the exchange of letters the budget modification and the extension to the Specific agreement was approved on 7<sup>th</sup> April 2015.

### 2.2 Management context: execution modalities

The period from 2010 to 2013 saw a slow implementation of the budget due to poor quality of proposals. However in 2014 and 2015 BTC gave additional support through the development of procedure manual and templates to make it easier for the beneficiaries to prepare better proposals. This had a positive influence on the execution rate and 93% of the budget was subsequently committed. The Steering Committee had a more substantive motivation to request the extension and the increase in budget of the fund.

The evaluation of the programme was concluded in June 2015 with a comprehensive report that the fund was highly relevant, highly efficient and had good high impact.

The good execution also caught the interest of DFID who wanted to increase the Study Fund budget through delegated cooperation. This was welcomed by DGD and BTC since there was no budget allocation for an exit strategy after the announcement of the Minister of Belgium's exit from South Africa and the additional budget for studies meant that the balance of the Belgium contribution could be used to foster other cooperation initiatives/partnerships with Belgian institutions which would contribute to the exit strategy of Belgian Development Cooperation in South Africa. However DFID announced that they withdraw their funding. During this period no further budget from the Belgium contribution balance was approved for any initiatives. This resulted in a decrease in execution. BTC and NT have since approved further budget allocation and at the end of 2016 73% of the overall budget including the additional budget from HCB was committed. There are many proposals submitted which will absorb the balance.

### 2.3 Harmo-context

Some of the approved funding was allocated to initiatives that required the participation and interaction of institutions from South Africa with those from Belgium, United Kingdom, etc. Partnerships and networking were also strengthened with other donors and Institutes through funding such as Capacity Building and Knowledge Exchange activities in support of the National Health Insurance scheme.

Due to the good implementation of the programme and the good relationship established with National Treasury they had directed delegated cooperation of DFID to BTC to implement a further 1 million GBP on the Study Fund.

## 3 Analysis of progress made

### 3.1 Studies

37 study proposals have been approved from the beginning of the implementation of the Study and Consultancy Fund, out of which:

- 17 studies were completed and reported during the reporting period January – December 2013.
- 15 were approved during 2014 and 2015:
  1. 3 studies started implementation 2014
  2. 2 studies were completed in 2014
  3. 3 studies started implementation 2015
  4. 3 studies were approved at the end of 2014. The tender procedure was concluded in Q2 2015 and implementation has started
  5. 3 studies in the health sector were approved in 2014 but, due to change in senior management after the elections, 2 of these 3 did not continue and will have to be revisited.
  6. Due to the delay in finalising the budget increase of the Fund only 1 study was approved in 2015 and implementation start in 2016.
- 5 were approved during 2016:
  1. 3 started in 2016 and will continue in 2017.
  2. 2 studies requiring tender procedure will start in 2017.

#### 3.1.1 Progress of studies

| Progress of studies <sup>1</sup>  | A | B | C | D | Comments (only if the value is C or D)  |
|---|---|---|---|---|---|
| Seed Funding for the appointment of a Provincial HR Specialist at the KwaZulu Natal Provincial Treasury |   |   |   | X | Over a year delay due to tender problems. Implementation started in Q1 2016 and ended in Q3.  |
| Matching citizens' expectations: Applied Policy Research Project  |   |   | X |   | The activity was delayed for three months due to the late start up and ended in Q3 2016   |
| Technical Expert to assist with the Establishment of a Technical Policy Unit, DOH EC Province           |   | X |   |   | Although slight delays were encountered the project was implemented on time but the final report was delayed by a month. Closed   |
| Evaluate the Routine Health Information System (RHIS) in the North West Province                        |   |   | X |   | Delays were experienced and the contract has been extended by 2 months.   |
| Develop SOPs for Local Government in key internal control cycles  |   | X |   |   | Closed  |
| Emerging Voices for Global Health 2014  | X |   |   |   | Closed  |
| Final Evaluation of the Study Fund  |   | X |   |   |   |
| Final Audit for the Study Fund  |   | X |   |   |   |
| Study Tour to different countries   |   | X |   |   |   |
| E-Health Concept Note for the Gauteng Province  |   |   |   | X | This study was severely delayed due to non-response from the beneficiary department. It is understood that after elections the senior management was changed and therefore no further follow up was made from their side. |
| Development of a Medical Device Assessment and Audit Tool for the Gauteng Health Department             |   | X |   |   | Although delayed initially, this project was implemented on schedule. BTC has managed to establish contacts between the National  |

<sup>1</sup> A: Ahead of schedule  
 B: On schedule  
 C: Delayed, corrective measures are required.  
 D: Seriously delayed (more than 6 months). Substantial corrective measures are required.



|   |  |   |   |   |
|---|--|---|---|---|
|   |  |   |   | Department of Health and the service providers to roll out the system Nationally.   |
| Brucellosis Research Workshop   |  | X |   | Project finalised in Q1 2016  |
| Public Financial Management Workshops and Seminars  |  | X |   | The project ended successfully in Q2 2016.  |
| Tracer Study of BTC funded SA candidates in Maritime Courses  |  |   | X | 2 months delay due to the unavailability of interviewees. The contract was extended by 2 months and was concluded successfully in Q2 2016.  |
| E-Health Concept Note for the Northern Cape Province  |  |   | X | This study was severely delayed due to non-response from the beneficiary department. It is understood that after elections the senior management was changed and therefore no further follow up was made from their side. |
| Produce the audiovisual material and distribute to all departments to increase the OMF footprint within the current DPSA personnel and budget constraints |  | X |   | The project was implemented successfully and the favourable balance available from the allocation was used for further editing, layout and design of the management framework.  |
| It Sharepoint Web And Database Expert Services  |  | X |   | The consultant was recruited in Q3 2016 and will end in December 2017.  |
| PFM Exchange Program for Continuous Professional Development  |  | X |   |   |
| DPSA_Dynamic HR Reports   |  | X |   |   |
| Competency Framework for Strategic & Annual Performance Planning  |  | X |   |   |
| PEFA Outcome Review   |  | X |   |   |

### 3.1.2 Analysis of studies completed

|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Seed Funding for the appointment of a Provincial HR Specialist at the KwaZulu Natal Provincial Treasury</b>  |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | This study was approved for KwaZulu Natal Provincial Treasury in support to conducting an analysis of the remuneration of the public service and identifying whether this is in line with the productivity expectations. The study will be limited to 2 departments (education and health) and it aims to produce recommendations that will enable the Provincial Treasury to budget better and appropriately for HR line items. The envisaged duration for the implementation is 4 months. |
| <i>Have the studies been used as intended?</i>  | Still to be determined.   |
| <i>To what did the study contribute?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | The tender was launched 3 times due to the low budget. The TOR had to be reviewed.  |

|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Matching citizens' expectations: Applied Policy Research Project</b>   |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | This study was approved for the Department of Co-operative Governance and Traditional Affairs (COGTA). The study will focus on matching citizen's expectations of service delivery with local government capacity to deliver. It seeks to generate research and evidence based data which will be of assistance in identifying factors that inhibit effective citizen participation and service delivery. |
| <i>Have the studies been used as intended?</i>  | Still to be determined.   |
| <i>To what did the study contribute?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | Delays were experienced in finalising the TOR and finalising the contract.  |

|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Technical Expert to assist with the Establishment of a Technical Policy Unit, DOH EC Province</b>  |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | This study was approved for the Eastern Cape Provincial Department of Health to provide assistance in establishing a technical policy unit possibly based at Walter Sisulu University. This Unit is expected, once established, to provide timely and strategic technical assistance on evidence-based policy development and implementation. The study seeks to conduct an assessment of current skills and recommend a mix of skills required for the establishment of such unit. |
| <i>Have the studies been used as intended?</i>  | Still to be determined.   |
| <i>To what did the study contribute?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | Delays were experienced in finalising the TOR and finalising the contract.  |

|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Evaluate the Routine Health Information System (RHIS) in the North West Province</b>   |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | This study was approved for the North West Provincial Department of Health. The department's Health Information Systems (HIS) general performance, along with the Auditor General's disclaimer opinion on the HIS motivated the development of a study proposal to appropriately study the department's RHIS, with the aim to inform targeted corrective measures and to ensure an effective RHIS which would enhance and support service delivery. The objective of the study is to provide better understanding of the existing capacity and to integrate data collection, processing, reporting, and use of information management at all levels of public health systems to improve patient outcomes. The focus will be on quality, affordability, accessibility and sustainability of processes and systems. |
| <i>Have the studies been used as intended?</i>  | Still to be determined.   |
| <i>To what did the study contribute?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | Major delays were experienced in finalising the contract with confusion by the Provincial department. However it was finally agreed to be signed between the North West Department of Health and North West University with oversight from National Treasury and BTC.   |

|   |  |
|---|--|
| <b>Title of study:</b>  | <b>Develop SOPs for Local Government in key internal control cycles</b>  |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | The study was approved for the Accountant-General within the National Treasury. The purpose is to establish a basic, foundation for good financial management through developing SOPs for Local Government in key internal control cycles. |
| <i>Have the studies been used as intended?</i>  | The project is still under implementation  |
| <i>To what did the study contribute?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None.  |



|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Emerging Voices for Global Health 2014</b>   |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | The symposium was approved for the National Department of Health<br>The symposium had the following objectives: <ul style="list-style-type: none"> <li>• Share cutting-edge research, addressing the development of people-centred health systems (including both conceptual work and the findings of primary and secondary research);</li> <li>• Identify and discuss approaches to research, strengthening the rigour of this research;</li> <li>• Build the capacities of researchers, policy-makers, practitioners, activists and civil society organisations to conduct and use health systems research related to the theme;</li> <li>• Strengthen learning communities and knowledge-translation platforms working to support people-centred health systems across disciplines, sectors and countries and, particularly, bridging practitioner, activist and researcher communities.</li> </ul>  |
| <i>Have the studies been used as intended?</i>  | This grant was provided to support the Third Global Symposium on Health Systems Research, which was held in Cape Town 30 September – 3 October, with associated satellite sessions held on 29-30 September and the Emerging Voices programme. The study was implemented in accordance with the approved proposal.   |
| <i>To what did the study contribute?</i>  | The theme of the symposium was the science and practice of people-centred health systems, chosen to enable participants to address current and critical concerns of relevance across countries in all parts of the world. Over 1800 researchers, policy-makers, funders, implementers and other stakeholders, from all regions and all socio-economic levels, worked together on the challenge of how to make health systems more responsive to the needs of individuals, families and communities. The Symposium represents the first international event held in Africa specifically focussed on health systems research (HSR). Plenary and concurrent sessions presented new research, innovative research methods, experience of capacity development in this field, and experience of bringing researchers and policy makers together to learn from each other. Posters were also presented, and a marketplace allowed organisations to share experience and information in other formats. Social media and other multi-media interactions were also used to enrich aspects of the Symposium and encourage active and lively debate before, during and after the Symposium. Post-Symposium webinars will also support continued debate on the themes and issues raised amongst the global HSR community.<br>The Emerging Voices programme specifically recognises the importance of actively engaging young researchers from the Global South to raise their voice in scientific debates. The Emerging Voices initiative began in 2009, originally as an initiative from the Institute of Tropical Medicine (ITM) Antwerp, Belgium. In 2014, however, it was a joint venture involving the School of Public Health of the University of Western Cape, South Africa; the University of Cape Town, South Africa; Peking University Health Science Centre, China and the Institute of Public Health, Bengaluru (India). The Emerging Voices training uses a blended learning approach, a combination of distance learning and intensive face-to-face coaching, leading to participation with oral presentation in a scientific conference, communication on social media, induction into a community of scholarship and practice and publication in a scientific journal. |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None.   |

|   |  |
|---|--|
| <b>Title of study:</b>  | <b>Final Evaluation of the Study Fund</b>  |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | In accordance with the Specific Agreement the Steering Committee can order an evaluation of the Study and Consultancy fund to determine the impact of the funding. The Steering Committee agreed to conduct an evaluation of the Fund in order to: <ul style="list-style-type: none"> <li>• Assess the implementation of Fund activities with respect to the Specific Agreement and formulate recommendation to improve it for further studies.</li> <li>• Assess the impact of completed studies.</li> <li>• Provide recommendations to the IDC, DGD and BTC regarding a possible extension of the Fund to 2017.</li> </ul> |
| <i>Have the studies been used as intended?</i>  | Yes.   |
| <i>To what did the study contribute?</i>  | The recommendations of the evaluation contributed to decisions being made in terms of management capacity, selection and evaluation mechanisms, marketing, etc.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None   |

|   |  |
|---|--|
| <b>Title of study:</b>  | <b>Final Audit for the Study Fund</b>  |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | <p>In accordance with the Specific Agreement the Steering Committee can order an audit of the Study and Consultancy fund to determine the financial compliance of the Fund. The Steering Committee agreed to conduct an audit of the Fund in order to:</p> <ul style="list-style-type: none"> <li>Analyse thoroughly the compliance of the tenders awarding process with the applicable law on public tenders, in this case the South African regulations, and with the execution modalities foreseen in the specific agreement, in this case the BTC's internal rules for co-managed funds;</li> <li>Examine the procedure manual developed by the project (including its check-list and templates) to facilitate the tender awarding process, check its compliance with the rules applicable and give suggestion for improvements if necessary.</li> </ul> |
| <i>Have the studies been used as intended?</i>  | A report was produced indicating the points of attention and recommendations for improvement of the internal manual and templates.   |
| <i>To what did the study contribute?</i>  | In depth analysis of the fund's procedures and points of improvement to implement the proposals in a more efficient way.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | Major delays in reporting and finalising the audit report and in producing the final invoice for payment.  |

|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Study Tour to different countries</b>  |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | The study was approved for the Chief Directorate Health and Social Development within the National Treasury. The study was organised with the objective to build capacity and conduct knowledge exchange activities for the Chief Directorate Health and Social Development, in their preparation for and implementation of the National Health Insurance Scheme.   |
| <i>Have the studies been used as intended?</i>  | It has been reported that so far a substantial number of significant research projects were undertaken with leading global organisations and experts with a number of significant products, including several articles for publication. Useful collaborative links and good working relationships have been built with a range of leading international partners based on practical work on joint projects and meetings.  |
| <i>To what did the study contribute?</i>  | <p>The visits and learning from other institutions and partner resulted in documented funding trends in each country, amongst others looking at levels of health funding in public and private sectors and in total, in absolute terms and as a proportion of GDP, along with fiscal indicators including country GDP, revenue and expenditure to GDP ratios, health as a share of the total budget. For each country possibilities for forward growth were modelled.</p> <p>Two papers were drafted for publication from the Thai work (in addition to background papers). The first is a collaborative opinion piece with around six leading Thai co-authors from different institutions and our own Department of Health. This deals with lessons from the Thai UC system for the SA NHI.</p> <p>The second is a longer review of the lessons from the Thai health system for SA. This has been drafted but is being tightened up for publication.</p> <p>There has been a lot of interest in this work and a detailed presentation (attached as an annexure) has been made to several audiences including the World Health Organisation (Geneva) and the Global Fund.</p> |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None.   |

| <b>Title of study:</b>  | <b>E-Health Concept Note for the Gauteng Province</b>   |
|---|---|
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | This proposal was approved for the Gauteng Department of Health.<br><br>The main objective is to analyse and assess current data management processes (collection, transmission, processing, analysis, display, quality checking of data, sharing and exchange and feedback) in order to plan and implement appropriate interventions to improve the system. Produce a concept note based on the assessment results to serve as a starting point in implementing the e-health in Gauteng Province in accordance with the e-health Strategy. |
| <i>Have the studies been used as intended?</i>  | Cancelled   |
| <i>To what did the study contribute?</i>  | Cancelled   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | The tender procedure hasn't been initiated despite the approval of the study being received in July 2014. The senior management seems to have been replaced and no further engagements could be established with the Province in this regard.<br>CANCELLED  |

| <b>Title of study:</b>  | <b>Development of a Medical Device Assessment and Audit Tool for the Gauteng Health Department</b>  |
|---|---|
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | This proposal was approved for the Gauteng Department of Health.<br><br>The overall objective of this project is to evaluate the Gauteng Health Department's existing medical device audit and procurement processes for appropriate and effective medical devices aimed at achieving positive health outcomes. |
| <i>Have the studies been used as intended?</i>  | Yes, the tool was adopted by the GDoH   |
| <i>To what did the study contribute?</i>  | BTC initiated the introduction of the tool to the NDoH. After many meetings and presentations it was approved by the CEO forum and is now planned to be presented to the DG of Health.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | The involvement of BTC and NT in the roll out of the programme resulted in positive impact of the programme.  |

| <b>Title of study:</b>  | <b>Public Financial Management Workshops and Seminars</b>   |
|---|---|
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | This study was approved for the Accountant-General Office within the National Treasury.<br><br>The main objective is to facilitate the enhancement of financial management skills for finance staff in the Provincial Departments and to support the implementation of the capacity development learning solutions developed by National Treasury in order to improve financial management in the Gauteng province. |
| <i>Have the studies been used as intended?</i>  | Still to be determined.   |
| <i>To what did the study contribute?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None.   |

|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Tracer Study of BTC funded SA candidates in Maritime Courses</b>   |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | <p>This study was approved for the Transport Education and Training Authority (TETA) consequent to courses delivered by APEC under the Belgian scholarship programme.</p> <p>The main objective is to conduct an assessment of current existing delivery model (including benefits, impact and improvements) and formulate recommendations for restructuring of the model if deemed necessary.</p> <p>The research / assessment will result in tracing the returning students and those who studied locally to understand the perceived effectiveness and impact of the APEC training on both students and their workplace.</p> |
| <i>Have the studies been used as intended?</i>  | Yes   |
| <i>To what did the study contribute?</i>  | The study provided a good view of the impact of the programme. It was quite evident that the beneficiaries of the courses did not find the training useful since it was prescribed training instead of tailor made to suit the South African context. This was considered in the formulation of the new scholarships programme in which the Maritime courses will be funded.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None.   |

|   |   |
|---|---|
| <b>Title of study:</b>  | <b>E-Health Concept Note for the Northern Cape Province</b>   |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | <p>This proposal was approved for the Northern Cape Department of Health.</p> <p>Same as the Gauteng proposal, the main objective is to analyse and assess current data management processes (collection, transmission, processing, analysis, display, quality checking of data, sharing and exchange and feedback) in order to plan and implement appropriate interventions to improve the system.</p> <p>Produce a concept note based on the assessment results to serve as a starting point in implementing the e-health in Northern Cape Province in accordance with the e-health Strategy.</p> <p>The proposal was approved for an additional province, despite the indication on Gauteng proposal that this can be replicable in other provinces, based on the following reasons:</p> <p>The Northern Cape is very rural with very little urbanisation. They also have scarce human and facility resources. Distances between the different tiers of hospital services are vast, so in terms of their e-health strategy they will be looking more at solutions that facilitate information and communication sharing in that environment. They also would rely on more of the lower level health workers than Gauteng due to the poor human resource situation and rely more on community based facilities than Gauteng. They have one "centre of excellence" or given their limited resources they will have to rely on a single provincial hospital for all major referrals. They share this profile with the North West, Mpumalanga and Limpopo (all have one or two centers for referral).</p> <p>In contrast Gauteng and Western Cape have a different profile. Facilities are much closer together in Gauteng and Western Cape and they are much better equipped and staffed. They have a different challenge of information management and disbursement. These provinces are significantly urban and have significant hospital based services and therefore will require different solutions to the more rural based ones.</p> <p>The two studies will produce both rural and urban settings and offer the opportunity to present and share findings with their other provincial counterparts as well as at the technical committee of the National Health Council to stimulate replicability.</p> |
| <i>Have the studies been used as intended?</i>  | Cancelled   |
| <i>To what did the study contribute?</i>  | Cancelled   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | The tender procedure hasn't been initiated despite the approval of the study being received in July 2014. The senior management seems to have been replaced and no further engagements could be established with the Province in this regard.<br>CANCELLED  |



|   |   |
|---|---|
| <b>Title of study:</b>  | <b>Produce the audiovisual material and distribute to all departments to increase the OMF footprint within the current DPSA personnel and budget constraints</b>  |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | The study was approved for the Department of Public Service and Administration (DPSA).<br><br>The main objective is the production and distribution of a set of audio-visual materials that would elucidate the content of the Operations Management Framework (OMF) and would be a much more cost efficient way of sharing the OMF with national and provincial departments. |
| <i>Have the studies been used as intended?</i>  | Still to be determined.   |
| <i>To what did the study contribute?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None.   |

|   |  |
|---|--|
| <b>Title of study:</b>  | <b><i>IT Sharepoint Web And Database Expert Services</i></b>   |
| <i>Describe, in a few sentences, for who the study was organised, and what it was about</i>   | The study was approved for IDC.<br><br>The main objective is to review and upgrade the DCMIS based on Microsoft SharePoint Products and Technologies for improved management and integrated reporting and accountability of ODA in South Africa. |
| <i>Have the studies been used as intended?</i>  | The project is still under implementation  |
| <i>To what did the study contribute?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did they impact the study or the use of the study?</i> | None.  |

## 3.2 Expertise

### 3.2.1 Progress of expertise

|    | Progress of expertise <sup>2</sup>  | A | B | C | D | Comments (only if the value is C or D)   |
|----|---|---|---|---|---|--|
| 1  | Seed Funding for the appointment of a Provincial HR Specialist at the KwaZulu Natal Provincial Treasury   |   |   | X |   | Delay in implementation due to delays in finalising tender.  |
| 2  | Matching citizens' expectations: Applied Policy Research Project  |   |   | X |   | Delay in implementation due to delays in finalising tender.  |
| 3  | Technical Expert to assist with the Establishment of a Technical Policy Unit, DOH EC Province   |   |   | X |   | Delay in implementation due to delays in finalising tender.  |
| 4  | Evaluate the Routine Health Information System (RHIS) in the North West Province  |   |   | X |   | Delay in implementation due to delays in signing of contract.  |
| 5  | Develop SOPs for Local Government in key internal control cycles  |   | X |   |   |  |
| 6  | Emerging Voices for Global Health 2014  | X |   |   |   |  |
| 7  | Final Evaluation of the Study Fund  |   | X |   |   |  |
| 8  | Final Audit for the Study Fund  |   | X |   |   |  |
| 9  | Study Tour to different countries   |   | X |   |   |  |
| 10 | E-Health Concept Note for the Gauteng Province  |   |   |   | X | This study was severely delayed due to non-response from the beneficiary department. It is understood that after elections the senior management was changed and therefore no further follow up was made from their side.<br>CANCELLED |
| 11 | Development of a Medical Device Assessment and Audit Tool for the Gauteng Health Department   |   | X |   |   | Although delays experienced initially in formalising the application, the project is on schedule.  |
| 12 | Public Financial Management Workshops and Seminars  |   | X |   |   |  |
| 13 | Tracer Study of BTC funded SA candidates in Maritime Courses  |   | X |   |   |  |
| 14 | E-Health Concept Note for the Northern Cape Province  |   |   |   | X | This study was severely delayed due to non-response from the beneficiary department. It is understood that after elections the senior management was changed and therefore no further follow up was made from their side.<br>CANCELLED |
| 15 | Produce the audiovisual material and distribute to all departments to increase the OMF footprint within the current DPSA personnel and budget constraints |   | X |   |   |  |
| 16 | IT Sharepoint Web And Database Expert Services  |   | X |   |   | Tender on track.   |

<sup>2</sup> A: Expertise completed in year N  
 B: Expertise ongoing  
 C: Expertise in preparatory phase: preparation going as planned (writing ToR, procurement procedure, etc.)  
 D: Expertise planned but delayed

### 3.2.2 Analysis of expertise

|  |   |
|--|---|
| <b>Title of expertise – name of expert:</b>  | <b>Provincial Human Resource Specialist – Not yet appointed</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | <p>The Provincial Treasury would require the appointment of a HR Specialist to support them with recommendation that will enable the Treasury to budget better for HR line item.</p> <p>The expertise aims at conducting a review of the remuneration of public service officials and to determine if it is in line with the productivity expectations and performance targets. The expert will also be required to produce advice regarding the alignment of the departmental personnel structures with core mandates.</p> |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation   |
| <i>To what has the expertise contributed?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | Delays in finalising the tender procedures as explained in section 3.1.2  |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Applied Policy Research – Western Cape University</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | The purpose of the expertise is to conduct an applied policy research on behalf of the Department of Cooperative Governance and Traditional Affairs (CoGTA) with a special focus on "Matching Citizens' expectations of service delivery with local government capacity to deliver". |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | Delays in finalising the tender procedures as explained in section 3.1.2   |

|  |   |
|--|---|
| <b>Title of expertise – name of expert:</b>  | <b>Appointment of a Technical Expert to assist with the establishment of a technical unit – Impela Alliances cc</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | The expertise required is research related. The successful service provider will be appointed to conduct an assessment of current skills and recommend a mix of skills required for the establishment of such a Unit. |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation   |
| <i>To what has the expertise contributed?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | Delays in finalising the tender procedures as explained in section 3.1.2  |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Evaluate the Routine Health Information System (RHIS) in the North West Province –North West University</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | <p>The scope of the work is to conduct a DHIS assessment to provide better understanding of the existing capacity and to integrate data collection, processing, reporting, and use of information management at all levels of public health systems to improve patient outcomes. The focus will be on quality, affordability, accessibility and sustainability of processes and systems.</p> <p>The assessment will be conducted in two districts: Dr. Kenneth Kaunda District and the Bojanala Platinum District in the North West.</p> |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | Delays in finalising the tender procedures as explained in section 3.1.2   |

|  |   |
|--|---|
| <b>Title of expertise – name of expert:</b>  | <b>The development of standard operating procedures for the implementation of the MFMA in municipalities - Mubeko Africa CC</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | The purpose of the assignment is to develop the SOPs for the local government context to support Budget and Treasury Office (BTO) staff and managers to have a thorough understanding of basic controls that are required to be in place within key internal control cycles. This will assist in ensuring that there is a basis for BTO staff to fulfil their roles and ensure efficient, transparent financial management is in place for service delivery and accountability in the management of public funds. |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation   |
| <i>To what has the expertise contributed?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None  |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>                          | <b>Global Symposium on Health Systems Research and the Emerging Voices programme – Health Systems Global</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i> | This was a grant agreement to partially support the logistical arrangements for the international speakers and the emerging voices programme.  |
| <i>To what extent is the expertise delivering results?</i>           | <p>This support was extremely successful and was commended by the Director-General of the National Department of Health at the meeting in October 2014.</p> <p>As this grant includes two main components, namely support for the symposium (managed by Health Systems Global – South Africa / HSG-SA) and the Emerging Voices (EV) programme (managed by the University of the Western Cape - UWC), an agreement was concluded between HSG-SA and UWC. HSG-SA is managing the overall project, including preparing and submitting narrative and financial reports, with UWC providing inputs on the EV component of the project.</p>  |
| <i>To what has the expertise contributed?</i>                        | <p>The funds were used to support the participation of the plenary speakers to the symposium. A total of 27 delegates from low-or middle-income countries and/or full-time students, as well as 10 plenary speakers, were fully or partially funded to participate in the symposium.</p> <p>A total of R1,254,193 has been expended on the Emerging Voices (EV) programme. This includes flights, accommodation, ground transportation and registration and membership fees for some of the Emerging Voices; and catering, printing, venue and equipment, co-ordination and administrative personnel and other costs related to the EV programme.</p> <p>The fund was used to support expenses in relation to the marketplace stalls as well as for social and other multi-media activities as approved.</p> |



|  |      |
|--|------|
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None |
|--|------|

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Evaluation of the Study and Consultancy Fund – Julia Du Pisani</b>  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | In accordance with the Specific Agreement the Steering Committee can order an evaluation of the Study and Consultancy fund to determine the impact of the funding. The Steering Committee agreed to conduct an evaluation of the Fund in order to: <ul style="list-style-type: none"> <li>Assess the implementation of Fund activities with respect to the Specific Agreement and formulate recommendation to improve it for further studies.</li> <li>Assess the impact of completed studies.</li> <li>Provide recommendations to the IDC, DGD and BTC regarding a possible extension of the Fund to 2017.</li> </ul> |
| <i>To what extent is the expertise delivering results?</i>   | The expert was well suited for the evaluation.   |
| <i>To what has the expertise contributed?</i>  | The recommendations of the evaluation contributed to decisions being made in terms of management capacity , selection and evaluation mechanisms, marketing, etc.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Audit services: Belgian-South African Study and Consultancy Fund – Moore Stephens</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | The expertise required was to conduct a financial and system audit for the programme and provide recommendations for improvement consequent to review of the procedure manual and project templates. |
| <i>To what extent is the expertise delivering results?</i>   | A first draft report was produced by the auditors. However the submission of the reports is not in line with the agreed timeline.  |
| <i>To what has the expertise contributed?</i>  | Suggestions and recommendations to improve the programme efficiencies. Final report is still expected in the first quarter of 2015.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None.  |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Study Tour to different countries – None</b>  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | This was a grant to the National Treasury – Chief Directorate for Health and Social Development in support to budgeting for NHI. |
| <i>To what extent is the expertise delivering results?</i>   | Refer to the progress reported in section 3.1.2  |
| <i>To what has the expertise contributed?</i>  | Refer to the progress reported in section 3.1.2  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>E-Health Concept Note for the Gauteng Province – Not yet appointed</b>                              |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | The TOR are still to be finalised – the main objective of the study is reported in section 3.1.2 above |
| <i>To what extent is the expertise delivering results?</i>   | Cancelled  |
| <i>To what has the expertise contributed?</i>  | Cancelled  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | Cancelled  |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Development of a Medical Device Assessment and Audit Tool for the Gauteng Health Department – Health Advance Institute</b>  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | To provide a new framework for rational and logical medical device assessment based on the existing health needs and expected outcomes upon servicing those needs.<br><br>To provide a new framework for a systematic medical device audit tool, based on public health needs assessment |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Public Financial Management Workshops and Seminars – ESP Cool Ideas</b> |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | Roll out of the financial management programmes in Gauteng                 |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation                                  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Tracer Study of BTC funded SA candidates in Maritime Courses - Nofel</b>                                  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | Analysis of the Maritime courses provided by APEC to South African institutions in the maritime environment. |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>E-Health Concept Note for the Northern Cape Province – Not yet appointed</b>                        |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | The TOR are still to be finalised – the main objective of the study is reported in section 3.1.2 above |
| <i>To what extent is the expertise delivering results?</i>   | CANCELLED  |
| <i>To what has the expertise contributed?</i>  | CANCELLED  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | CANCELLED  |

|  |   |
|--|---|
| <b>Title of expertise – name of expert:</b>  | <b>Produce the audiovisual material and distribute to all departments to increase the OMF footprint within the current DPSA personnel and budget constraints – Artboards Design Studio</b>        |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | In consultation with DPSA, the expert will produce an audio-visual programme on a real life conference/ training environment on the eight building blocks of the Operations Management Framework. |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation   |
| <i>To what has the expertise contributed?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None  |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>It Sharepoint Web And Database Expert Services</b>  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | <b>Expected Outputs / Results</b> <ul style="list-style-type: none"> <li>• Revised and upgraded DCMIS in line with the IDC and ODA stakeholder requirements;</li> <li>• Effective and operationalised DCMIS and IDC Website;</li> <li>• DCMIS User training manual;</li> <li>• DCMIS administrator trained;</li> <li>• DCMIS Users training workshops undertaken;</li> <li>• Knowledge lab equipment upgrading;</li> </ul> |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>PFM Exchange Program for Continuous Professional Development</b>  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | To develop and the roll-out of a 2 year program on public financial management (PFM) for continuous professional development (CPD) of officials from National and Provincial treasuries following the completion of a commissioned benchmarking study tour in Belgium. |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |   |
|--|---|
| <b>Title of expertise – name of expert:</b>  | <b>DPSA_Dynamic HR Reports</b>  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | To replace current static reports with dynamic Human Resource reports which can cater for the increasing and varying needs of stakeholders; To allow interrogation and analysis of underlying data by stakeholders and decrease the demand on technical skills in the Department. |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation   |
| <i>To what has the expertise contributed?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None  |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>  | <b>Competency Framework for Strategic &amp; Annual Performance Planning</b>  |
| <i>Describe, in a few sentences, what the expertise is/was about</i>   | To develop competency framework for strategic and annual performance planning in the Public Sector to equip strategy planning officials with the necessary competencies and skills required to execute their duties in compliance with strategy planning regulations and guidelines of the DPME. |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation  |
| <i>To what has the expertise contributed?</i>  | Still to be determined.  |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None   |

|  |  |
|--|--|
| <b>Title of expertise – name of expert:</b>                          | <b>PEFA Outcome Review</b>   |
| <i>Describe, in a few sentences, what the expertise is/was about</i> | <p><b>Expected Outputs / Results</b></p> <ul style="list-style-type: none"> <li>• Assess the PEFA assessment in order identify areas for intervention in the provincial sphere.</li> <li>• Integrate the findings into respective ISSPs of provinces</li> <li>• To find transversal intervention for common weakness to maximise the return on investment</li> <li>• Expertise and knowledge sharing of the best practices in various critical dimensions.</li> <li>• Capacitate the NT officials to undertake the quasi PEFA assessment based on latest framework in collaboration with Provincial Treasuries.</li> </ul> |



|  |   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• Device strategies to strengthen aggregate Public Financial Management in provinces.</li> </ul> |
| <i>To what extent is the expertise delivering results?</i>   | The project is still under implementation   |
| <i>To what has the expertise contributed?</i>  | Still to be determined.   |
| <i>Issues that arose, influencing factors (positive or negative)? Unexpected results (positive or negative)? How did these impact the expertise and the result of this expertise</i> | None  |

### 3.3 Budget execution

Considering the delay caused by DFID significant progress was made in 2016 with 5 new proposals being approved, for a total of €395.000 and some have already started implementation.

The execution of the programme as at 31 December 2016 was € 2.171.355 of budget (spent and committed), which represents 73,30% of the total budget. Of this € 1.622.445 (54,77 %) is actual expenditure

### 3.4 Quality criteria

*On the basis of the elements above, attribute a simple A, B, C or D score<sup>3</sup> to the following criteria*

**Relevance:** The degree to which studies and expertise are in line with local and national priorities

**Efficiency:** Degree to which studies and expertise have been executed on time and on budget.

**Effectiveness:** Degree to which studies and expertise actually contribute to their intended objectives

| Criteria      | Score |
|---------------|-------|
| Relevance     | A     |
| Efficiency    | C     |
| Effectiveness | A     |

<sup>3</sup>

- A: Very good performance
- B: Good performance
- C: Performing with problems, measures should be taken
- D: Not performing/ having major difficulties: measures are necessary

If a criterion cannot be assessed (e.g. because the intervention has only just started), attribute the criteria with an 'X' score. Explain why the criterion has not been assessed.

### 3.5 Risk management

| Identification of risk or issue  |                          | Analysis of risk or issue |            |                  | Deal with risk or issue |  |       | Follow-up of risk or issue |   |             |
|--|--------------------------|---------------------------|------------|------------------|-------------------------|--|-------|----------------------------|---|-------------|
| Risk description   | Period of identification | Category                  | Likelihood | Potential impact | Total                   | Action(s)  | Resp. | Deadline                   | Progress  | Status      |
| Delays in implementation due to Beneficiary Institution Tender processes | Q1 2015                  | FIN                       | Medium     | Medium           | Medium Risk             | It has been noted that the delays are mainly caused through confusion on processes to follow due to the funding not being transferred to the beneficiary institution. BTC and NT meet/contact the BI before the launch of tenders to clarify Stufo procedure. However bureaucracy also contribute to delays. | BTC   | ongoing                    | BTC doesn't have HR capacity to take up the tender procedure on behalf of the beneficiary departments. There is still slow progress with regard to the approval of the tender by the Accounting Officer and the approval of the contractual agreement - due to bureaucratic processes | In progress |

## 4 Steering and Learning

### 4.1 Recommendations

| Recommendations   | Source   | Actor  | Deadline  |
|---|--|--|---|
| <i>Description of the recommendation</i>  | <i>The sub-chapter to which the recommendation refers (e.g. 3.2.3)</i> | <i>The person responsible for recommendation</i> | <i>e.g. Q1, Q2, Q3 or Q4 of year N+1</i>              |
| Lengthy procurement procedure impacts negatively on the disbursement rate. Close monitoring is needed | 3.1.1 Progress of studies  | Project Team                                     | Ongoing and to be documented for future interventions |
| Marketing of the fund needs to be improved to broaden the reach of the funding.                       | N/A  | Project Team                                     | Ongoing and to be documented for future interventions |
| M&E should be strengthened to ensure better outcome results of the studies.                           | N/A  | Project Team                                     | Ongoing and to be documented for future interventions |

### 4.2 Lessons Learned

*Capture important Lessons Learned from the intervention's experience. Lessons Learned are new insights that must remain in the institutional memory of BTC and partners.*

| Lessons learned   | Target audience          |
|---|--------------------------|
| The lack of a database of implemented programmes in Government and the poor sharing of information by funders pose a potential risk of double dipping. It was by chance that BTC is implementing a similar programme (Tirelo Bosha) through which we identified this. | Beneficiary Institutions |

## 5 Annexes

### 5.1 “Budget versus current (y – m)” Report

#### Budget vs Actuals (Year to Month) of SAF0901711

|                |  |            |  |
|----------------|--|------------|--|
| Project Title  | Creation of a Belgo South African Fund for Transfer of Know-How, Studies and Consultancies |            |  |
| Budget Version | E03  |            |  |
| Currency       | EUR  |            |  |
| Y/M            | Year to month  | 31/12/2016 |  |
|                | Report includes all closed transactions until the end date of the chosen closing           |            |  |

|  | Status | Fin Mode | Amount       | Start to 2016 | Expenses 2016 | Total        | Balance      | % Exec |
|--|--------|----------|--------------|---------------|---------------|--------------|--------------|--------|
| <b>A Fonds non-alloués</b>                                   |        |          | 790.737,00   | -13.035,33    | -1.948,14     | -15.583,47   | 806.320,47   | -2%    |
| 01 Fonds non-alloués   |        |          | 790.737,00   | -13.035,33    | -1.948,14     | -15.583,47   | 806.320,47   | -2%    |
| 01 Fonds non-alloués   |        | COGES    | 790.737,00   | -13.035,33    | -1.948,14     | -15.583,47   | 806.320,47   | -2%    |
| <b>B Allocated Funds</b>                                     |        |          | 1.507.043,00 | 539.553,91    | 434.162,54    | 973.716,45   | 533.326,55   | 65%    |
| 01 IDC - Workshop  |        |          | 2.915,00     | 2.918,42      | 0,00          | 2.918,42     | -0,42        | 100%   |
| 01 Workshop on Future Development: Cooperation between       |        | COGES    | 2.915,00     | 2.918,42      | 0,00          | 2.918,42     | -0,42        | 100%   |
| 02 Kwazulu Natal Provincial Treasury                         |        |          | 68.200,00    | 0,00          | 48.482,22     | 48.482,22    | 19.717,78    | 71%    |
| 01 Seed Funding for the appointment of a Provincial HR       |        | COGES    | 68.200,00    | 0,00          | 48.482,22     | 48.482,22    | 19.717,78    | 71%    |
| 03 Generate evidence based data on identifying factors       |        |          | 40.000,00    | 27.859,95     | 7.402,42      | 35.262,37    | 4.737,63     | 88%    |
| 01 Matching citizens' expectations: Applied Policy Research  |        | COGES    | 40.000,00    | 27.859,95     | 7.402,42      | 35.262,37    | 4.737,63     | 55%    |
| 04 Establishment of a Technical Unit that provides timely    |        |          | 30.560,00    | 9.958,77      | 20.601,15     | 30.559,92    | 0,08         | 100%   |
| 01 Technical Expert to assist with the Establishment of a    |        | COGES    | 30.560,00    | 9.958,77      | 20.601,15     | 30.559,92    | 0,08         | 100%   |
| 05 Assess data quality and performance of the DHIS and       |        |          | 67.910,00    | 67.910,17     | 0,00          | 67.910,17    | -0,17        | 100%   |
| 01 Evaluate the Routine Health Information System (RHIS) in  |        | COGES    | 67.910,00    | 67.910,17     | 0,00          | 67.910,17    | -0,17        | 100%   |
| 06 Development of Standing Operating Procedures for          |        |          | 205.000,00   | 41.520,92     | 125.380,37    | 166.619,29   | 38.380,71    | 81%    |
| 01 Develop SOPs for Local Government in key internal control |        | COGES    | 205.000,00   | 41.520,92     | 125.380,37    | 166.619,29   | 38.380,71    | 81%    |
| 07 The third global symposium on health systems research,    |        |          | 179.340,00   | 179.340,32    | 0,00          | 179.340,32   | -0,32        | 100%   |
| 01 Emerging Voices for Global Health 2014                    |        | COGES    | 179.340,00   | 179.340,32    | 0,00          | 179.340,32   | -0,32        | 100%   |
| 08 Evaluation of the Study Fund                              |        |          | 30.000,00    | 11.679,63     | 0,00          | 11.679,63    | 18.320,37    | 39%    |
| 01 Technical Evaluation of the Study Fund                    |        | COGES    | 30.000,00    | 11.679,63     | 0,00          | 11.679,63    | 18.320,37    | 39%    |
| 02 Final Technical evaluation of the Study Fund              |        | COGES    | 15.000,00    | 11.679,63     | 0,00          | 11.679,63    | 3.320,37     | 78%    |
| 09 Financial Evaluation of the Study Fund                    |        |          | 15.000,00    | 0,00          | 0,00          | 0,00         | 15.000,00    | 0%     |
| 01 Financial Evaluation of the Study Fund                    |        | COGES    | 15.000,00    | 0,00          | 0,00          | 0,00         | 15.000,00    | 0%     |
| <b>REISE</b>   |        |          |              |               |               |              |              |        |
| COGEST   |        |          | 2.892.092,00 | 1.190.230,27  | 432.214,80    | 1.622.445,07 | 1.339.646,93 | 55%    |
| TOTAL  |        |          | 2.892.092,00 | 1.190.230,27  | 432.214,80    | 1.622.445,07 | 1.339.646,93 | 55%    |





## Budget vs Actuals (Year to Month) of SAF0901711

Project Title: Creation of a Belgo South African Fund for Transfer of Know-How, Studies and Consultancies

Budget Version: E03

Currency: EUR

Year to month: 31/12/2016

Report includes: all closed transactions until the end date of the chosen closing

|   | Status | Fin Mode | Amount       | Start to 2015 | Expenses 2016 | Total        | Balance      | % Exec |
|---|--------|----------|--------------|---------------|---------------|--------------|--------------|--------|
| 01 Financial Audits   |        | COGES    | 18.000,00    | 8.700,00      | 0,00          | 8.700,00     | 9.300,00     | 45%    |
| 10 Capacity building and knowledge exchange in relation to  |        |          | 21.835,74    | 21.835,74     | 0,00          | 21.835,74    | 0,26         | 100%   |
| 01 Study Tour to different countries                        |        | COGES    | 21.835,00    | 21.835,74     | 0,00          | 21.835,74    | 0,26         | 100%   |
| 11 Analyse and assess current data management processes     |        |          | 0,00         | 0,00          | 0,00          | 0,00         | 0,00         | ?      |
| 01 E-Health Concept Note for the Gauteng Province           |        | COGES    | 0,00         | 0,00          | 0,00          | 0,00         | 0,00         | ?      |
| 12 Evaluate the Gauteng Health Department's existing        |        |          | 62.187,00    | 3.912,38      | 57.494,34     | 61.408,72    | 780,28       | 99%    |
| 01 Development of a Medical Device Assessment and Audit     |        | COGES    | 62.187,00    | 3.912,38      | 57.494,34     | 61.408,72    | 780,28       | 99%    |
| 13 Capacity development learning solutions developed by     |        |          | 170.000,00   | 53.173,93     | 62.930,53     | 118.104,46   | 53.895,54    | 68%    |
| 01 Public Financial Management Workshops and Seminars       |        | COGES    | 170.000,00   | 53.173,93     | 62.930,53     | 118.104,46   | 53.895,54    | 66%    |
| 14 Analysis of existing delivery model, impact and benefits |        |          | 88.500,00    | 16.150,28     | 51.651,63     | 67.807,91    | 20.692,09    | 77%    |
| 01 Tracer Study of BTC-funded SA candidates in Maritime     |        | COGES    | 88.500,00    | 16.150,28     | 51.651,63     | 67.807,91    | 20.692,09    | 77%    |
| 15 Analyse and assess current data management processes     |        |          | 0,00         | 0,00          | 0,00          | 0,00         | 0,00         | ?      |
| 01 E-Health Concept Note for the Northern Cape Province     |        | COGES    | 0,00         | 0,00          | 0,00          | 0,00         | 0,00         | ?      |
| 16 Develop Audio Visual Programme for Operations            |        |          | 32.662,00    | 10.548,14     | 32.358,62     | 42.906,76    | -10.214,76   | 131%   |
| 01 Produce the audiovisual material and distribute to all   |        | COGES    | 32.662,00    | 10.548,14     | 32.358,62     | 42.906,76    | -10.214,76   | 131%   |
| 17 Policy Research Workshop UP and DAFF                     |        |          | 12.400,00    | 7.811,01      | 3.719,96      | 11.530,97    | 869,03       | 93%    |
| 01 Emucellosis Research Workshop                            |        | COGES    | 12.400,00    | 7.811,01      | 3.719,96      | 11.530,97    | 869,03       | 93%    |
| 18 Promote financial inclusion in the SADC region for the   |        |          | 75.000,00    | 70.353,09     | 0,00          | 70.353,09    | 4.646,91     | 94%    |
| 01 Financial Inclusion Forum                                |        | COGES    | 75.000,00    | 70.353,09     | 0,00          | 70.353,09    | 4.646,91     | 94%    |
| 19 Explore, create, cultivate and consolidate research      |        |          | 7.500,00     | 5.875,16      | 603,18        | 6.478,34     | 1.021,66     | 86%    |
| 01 Workshop on Multilingualism in Transformative Spaces     |        | COGES    | 7.500,00     | 5.875,16      | 603,18        | 6.478,34     | 1.021,66     | 86%    |
| 20 Tracer Study on Scholarships Programme                   |        |          | 0,00         | 0,00          | 0,00          | 0,00         | 0,00         | ?      |
|   |        | REGIE    |              |               |               |              |              |        |
|   |        | COGEST   | 2.962.092,00 | 1.190.230,27  | 432.214,80    | 1.622.445,07 | 1.339.646,93 | 55%    |
|   |        | TOTAL    | 2.962.092,00 | 1.190.230,27  | 432.214,80    | 1.622.445,07 | 1.339.646,93 | 55%    |



## Budget vs Actuals (Year to Month) of SAF0901711

Project Title: Creation of a Belgo South African Fund for Transfer of Know-How, Studies and Consultancies

Budget Version: E03

Currency: EUR

Year to month: 31/12/2016

RM

Report includes all closed transactions until the end date of the chosen closing

|   | Status | Fin/Mode | Amount            | Start to 2015     | Expenses 2016 | Total             | Balance      | % Exec      |
|---|--------|----------|-------------------|-------------------|---------------|-------------------|--------------|-------------|
| 01 Evaluation of scholarship programme in South Africa      |        | COGES    | 0,00              | 0,00              | 0,00          | 0,00              | 0,00         | 0%          |
| 21 Development Cooperation Management Information           |        | COGES    | 85.000,00         | 0,00              | 19.838,49     | 19.838,49         | 65.161,51    | 23%         |
| 01 IT Sharepoint Web & Database Expert-Service              |        | COGES    | 85.000,00         | 0,00              | 19.838,49     | 19.838,49         | 65.161,51    | 23%         |
| 22 PFM Exchange Programs for Continuous Professional        |        | COGES    | 40.000,00         | 0,00              | 3.700,03      | 3.700,03          | 36.299,97    | 9%          |
| 01 Belgium Study Tour                                       |        | COGES    | 40.000,00         | 0,00              | 3.700,03      | 3.700,03          | 36.299,97    | 9%          |
| 23 DPSA_Dynamic HR Reports                                  |        | COGES    | 50.000,00         | 0,00              | 0,00          | 0,00              | 50.000,00    | 0%          |
| 01 Resource to Develop Dynamic HR Reports                   |        | COGES    | 50.000,00         | 0,00              | 0,00          | 0,00              | 50.000,00    | 0%          |
| 24 Competency Framework for Strategic & Annual              |        | COGES    | 180.000,00        | 0,00              | 0,00          | 0,00              | 180.000,00   | 0%          |
| 01 Development of Competency Framework in the Public        |        | COGES    | 180.000,00        | 0,00              | 0,00          | 0,00              | 180.000,00   | 0%          |
| 25 PEFA Outcome Review                                      |        | COGES    | 40.000,00         | 0,00              | 0,00          | 0,00              | 40.000,00    | 0%          |
| 01 PEFA Outcome Review Conference/Workshop                  |        | COGES    | 40.000,00         | 0,00              | 0,00          | 0,00              | 40.000,00    | 0%          |
| <b>Z ALLOCATED FUNDS</b>                                    |        |          | <b>664.312,00</b> | <b>664.311,89</b> | <b>0,00</b>   | <b>664.311,89</b> | <b>0,31</b>  | <b>100%</b> |
| 01 Department of Higher Education & Training                |        | COGES    | 32.750,00         | 32.749,00         | 0,00          | 32.749,00         | 0,34         | 100%        |
| 01 FET College Lecturer Development                         |        | COGES    | 32.750,00         | 32.749,00         | 0,00          | 32.749,00         | 0,34         | 100%        |
| 02 National Department of Health                            |        | COGES    | 7.353,00          | 7.353,09          | 0,00          | 7.353,09          | -0,09        | 100%        |
| 01 Seminar-Lean Methodology to Public Sector                |        | COGES    | 7.353,00          | 7.353,09          | 0,00          | 7.353,09          | -0,09        | 100%        |
| 03 National Treasury - SCOA                                 |        | COGES    | 73.722,00         | 73.721,72         | 0,00          | 73.721,72         | 0,28         | 100%        |
| 01 Development of Standard chart of accounts for Local      |        | COGES    | 73.722,00         | 73.721,72         | 0,00          | 73.721,72         | 0,28         | 100%        |
| 04 National Treasury - GRAP                                 |        | COGES    | 63.610,00         | 63.610,38         | 0,00          | 63.610,38         | -0,38        | 100%        |
| 01 Seminar - Municipal Mngmnt Reform                        |        | COGES    | 63.610,00         | 63.610,38         | 0,00          | 63.610,38         | -0,38        | 100%        |
| 05 Ba-Phalaborwa Municipality                               |        | COGES    | 47.032,00         | 47.031,79         | 0,00          | 47.031,79         | 0,21         | 100%        |
| 01 Feasible Solution on Poverty reduction, improved service |        | COGES    | 47.032,00         | 47.031,79         | 0,00          | 47.031,79         | 0,21         | 100%        |
| REGIE   |        |          |                   |                   |               |                   |              |             |
| COGEST  |        |          | 2.962.092,00      | 1.180.230,27      | 432.214,80    | 1.622.445,07      | 1.339.646,93 | 55%         |
| TOTAL   |        |          | 2.962.092,00      | 1.180.230,27      | 432.214,80    | 1.622.445,07      | 1.339.646,93 | 55%         |





## Budget vs Actuals (Year to Month) of SAF0901711

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 Budget Version: **E03**  
 Currency: **EUR**  
 Year to month: **31/12/2016**  
 Report includes **all closed transactions until the end date of the chosen closing**

| Status        | Fn Mode  | Amount              | Start to 2015       | Expenses 2016     | Total               | Balance             | % Exec      |
|---------------|--|---------------------|---------------------|-------------------|---------------------|---------------------|-------------|
| <b>06</b>     | <b>University of Western Cape</b>                          | <b>27.704,00</b>    | <b>27.703,64</b>    | <b>0,00</b>       | <b>27.703,64</b>    | <b>0,46</b>         | <b>100%</b> |
| 01            | External review of Piass Teaching Programme                | 27.704,00           | 27.703,64           | 0,00              | 27.703,64           | 0,46                | 100%        |
| <b>07</b>     | <b>South African Local Government Association - SALGA</b>  | <b>29.084,00</b>    | <b>29.084,35</b>    | <b>0,00</b>       | <b>29.084,35</b>    | <b>-0,35</b>        | <b>100%</b> |
| 01            | Feasibility study on Roll out of Finance Capacity Building | 29.084,00           | 29.084,35           | 0,00              | 29.084,35           | -0,35               | 100%        |
| <b>08</b>     | <b>Presidential SOE Review Committee</b>                   | <b>38.032,00</b>    | <b>38.031,84</b>    | <b>0,00</b>       | <b>38.031,84</b>    | <b>0,16</b>         | <b>100%</b> |
| 01            | Establishment of the Presidential State owned Enterprises  | 38.032,00           | 38.031,84           | 0,00              | 38.031,84           | 0,16                | 100%        |
| <b>09</b>     | <b>Free State Provincial Treasury</b>                      | <b>61.659,00</b>    | <b>61.659,34</b>    | <b>0,00</b>       | <b>61.659,34</b>    | <b>-0,34</b>        | <b>100%</b> |
| 01            | Technical Assistance for the Public Sector Financial       | 61.659,00           | 61.659,34           | 0,00              | 61.659,34           | -0,34               | 100%        |
| <b>10</b>     | <b>Gauteng Provincial Treasury</b>                         | <b>59.337,00</b>    | <b>59.336,89</b>    | <b>0,00</b>       | <b>59.336,89</b>    | <b>0,11</b>         | <b>100%</b> |
| 01            | Technical Assistance to strengthen PFM Capabilities at     | 59.337,00           | 59.336,89           | 0,00              | 59.336,89           | 0,11                | 100%        |
| <b>11</b>     | <b>NMBM</b>  | <b>37.871,00</b>    | <b>37.870,74</b>    | <b>0,00</b>       | <b>37.870,74</b>    | <b>0,26</b>         | <b>100%</b> |
| 01            | Establishment of a Competency Framework & Capacity         | 37.871,00           | 37.870,74           | 0,00              | 37.870,74           | 0,26                | 100%        |
| <b>12</b>     | <b>DARDLA-MPU</b>  | <b>46.407,00</b>    | <b>46.407,37</b>    | <b>0,00</b>       | <b>46.407,37</b>    | <b>-0,37</b>        | <b>100%</b> |
| 01            | Feasibility Study for the Dev of a Sustainable Agric Dev   | 46.407,00           | 46.407,37           | 0,00              | 46.407,37           | -0,37               | 100%        |
| <b>13</b>     | <b>GRAP - National Treasury</b>                            | <b>54.848,00</b>    | <b>54.848,58</b>    | <b>0,00</b>       | <b>54.848,58</b>    | <b>0,42</b>         | <b>100%</b> |
| 01            | Expert in the Development of Implementation Guidelines     | 54.848,00           | 54.848,58           | 0,00              | 54.848,58           | 0,42                | 100%        |
| <b>14</b>     | <b>National Treasury- Health sector</b>                    | <b>54.711,00</b>    | <b>54.711,42</b>    | <b>0,00</b>       | <b>54.711,42</b>    | <b>-0,42</b>        | <b>100%</b> |
| 01            | Expert in Risk Management for the South African Health     | 54.711,00           | 54.711,42           | 0,00              | 54.711,42           | -0,42               | 100%        |
| <b>15</b>     | <b>National Health Insurance Reform</b>                    | <b>30.190,00</b>    | <b>30.190,98</b>    | <b>0,00</b>       | <b>30.190,98</b>    | <b>0,02</b>         | <b>100%</b> |
| 01            | Supporting South Africa's National Health Insurance        | 30.190,00           | 30.190,98           | 0,00              | 30.190,98           | 0,02                | 100%        |
| <b>99</b>     | <b>Conversion rate adjustment</b>                          | <b>0,00</b>         | <b>0,00</b>         | <b>0,00</b>       | <b>0,00</b>         | <b>0,00</b>         | <b>?</b>    |
| 99            | Conversion rate adjustment                                 | 0,00                | 0,00                | 0,00              | 0,00                | 0,00                | ?           |
| <b>REGIE</b>  |  |                     |                     |                   |                     |                     |             |
| <b>COGEST</b> |  | <b>2.962.092,00</b> | <b>1.190.230,27</b> | <b>432.214,80</b> | <b>1.622.445,07</b> | <b>1.339.646,83</b> | <b>55%</b>  |
| <b>TOTAL</b>  |  | <b>2.962.092,00</b> | <b>1.190.230,27</b> | <b>432.214,80</b> | <b>1.622.445,07</b> | <b>1.339.646,83</b> | <b>55%</b>  |



## 5.2 Decisions taken by the JLCB and follow-up

Provide an overview of the important strategic decisions taken by the JLCB and the follow-up of those decisions since the beginning of the intervention.

| Decision |   |                                 | Action                   |                     |   | Follow-up           |                  |  |        |
|----------|---|---------------------------------|--------------------------|---------------------|---|---------------------|------------------|--|--------|
| N°       | Decision  | Identification period (mmmm.yy) | Source*                  | Actor               | Action(s)   | Resp.               | Deadline         | Progress                               | Status |
| 1        | Management response and plan of action on the audit and evaluation report, and approved the response through Steering Committee | 2015-06-02                      | JLCB minutes             | NT and BTC          | Develop a management response to the findings and recommendations of the evaluation reports   | BTC                 | To be determined | Pending approval of additional funding | OPEN   |
| 2        | Amend the shortfalls in the procedure manual and guidelines   | 2015-06-02                      | JLCB minutes             | NT and BTC          | Address the shortfalls of the Study Fund Guidelines documents   | BTC                 | To be determined | Pending approval of additional funding | OPEN   |
| 3        | Monitoring and evaluation   | 2015-06-02                      | JLCB minutes             | NT and BTC          | Share information on M&E systems.<br>Apply monitoring framework to the Fund.  | NT                  | To be determined | Pending approval of additional funding | OPEN   |
| 4        | Interest on Bilateral programmes and Programmes of the Embassy capitalised in the RDP   | 2016-09-30                      | Stufo management meeting | Embassy, NT and BTC | It was agreed that the interest on the RDP account would remain at National Treasury and will be allocated to Study Fund proposals that could not be funded due to the Fund being depleted. | Embassy, NT and BTC | To be determined | Pending approval from DGD and BTC      | OPEN   |