



MPUMALANGA PROVINCIAL EVALUATION PLAN

FEBRUARY 2015



**MPUMALANGA
PROVINCIAL
GOVERNMENT**



FOREWORD

We are pleased to introduce to you our first Provincial Evaluation Plan for the year **2014-2016** as part of the roll out of the National Evaluation Policy Evaluation Framework and the Mpumalanga Province Wide Monitoring and Evaluation Framework.



Photo of Director General

As the National Evaluation System evolves at provincial level, we have focused our attention on building departmental capacity in this relatively new area of expertise. We have drawn significantly on the guidelines published by the Department of Planning, Monitoring and Evaluation in our engagements with Province and we believe that the process of institutionalising evaluation as a critical practice for effective evidence and results based decision making is fully underway.

Our 2014-16 **Provincial Evaluation Plan** focuses on the diagnostic evaluations that we would like to complete during the current financial year. Each evaluation that has been selected for completion provides a building block for future, larger scale

impact and implementation evaluations.

We are, in effect, laying the foundations for what we believe will be a substantial and substantive body of evidence to support the positive outcomes of our future policies and programmes.

We look forward to implementing high quality, meaningful evaluations that play a part in taking our Province from strength to strength.

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DIRECTOR GENERAL

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INTRODUCTION

The National Evaluation Policy Framework (NEPF) approved by Cabinet on the 23rd November 2011 provides for the establishment of an annual and three year rolling National Evaluation Plan as a focus for priority evaluations in government. Similarly, the framework also specifies that Provincial Evaluation Plans must be developed by Provinces and approved by their respective Provincial Executive Councils. The Provincial Evaluation Plan (PEP) is intended to identify the minimum evaluations to be carried out in the Province on an annual and a three yearly basis.

Developing the Mpumalanga Provincial Evaluation Plan

The roll out of the NEPF in the Province was piloted in the 2013/14 financial year as a means to assess the “**evaluation-readiness**” of the Province and to determine and build the capacity, processes and systems required for the implementation of a comprehensive 2014 – 2016 Provincial Evaluation Plan.

2013 saw the introduction of the concepts and principles of the NEPF to provincial sector departments under the guidance of the Office of the Premier (OtP). In addition, the OtP initiated a process of supporting provincial sector departments to develop evaluation concept notes with a view to selecting at least two provincial programme evaluations to support as during the pilot phase.

Whilst some progress was made regarding the introduction of the NEPF and its associated guidelines, the Province fell short of completing the proposed evaluations. This was due, in large part to both budget and capacity constraints.

The current PEP is based on a modified approach to the institutionalisation of the NEPF.

The Mpumalanga **Provincial Evaluation Technical Working Group** (PETWG) provides technical and quality assurance support to those departments already implementing evaluations.

In addition, as Provincial departments continue growing their internal capacity and systems, the Office of the Premier, adopted a more proactive role in the development and utilisation of quality evaluations.

The evaluations proposed for 2014/16 combine planned departmental evaluations (2) and evaluations (9) selected and proposed by the PETWG based on desktop study and departmental consultations.

This annual **Provincial Evaluation Plan** for Mpumalanga was presented to the Provincial Cabinet for consideration and approval in September 2014

The evaluations proposed in the Provincial Evaluation Plan have been selected for their direct bearing on, and potential contribution to, the achievement of **provincial socio economic development priorities**.

As we are starting a new term, it is also important to note that the evaluations proposed include a number of **diagnostic /design evaluations** that will test assumptions and provide recommendations in respect of a number of provincial MTSF priority projects.

Finally, the Provincial Evaluation Plan is developed and presented within the context of the approved **Mpumalanga Monitoring and Evaluation Framework** and the **Province Wide Monitoring and Evaluation System**.

Summary of Proposed Evaluations

The evaluations proposed for the 2014/16 period include the following:

1. Evaluating the impact of the **Expanded Public Works Programme** (Phase II) in the Province
2. Diagnostic Evaluation: How will the establishment of the **Mpumalanga Fresh Produce Market** affect the livelihoods of small scale farmers in the Province?
3. Implementation Evaluation: Evaluating the effectiveness and efficiency of the **Rapid Implementation Unit (RIU)** as a coordinating mechanism to accelerate service delivery and reduce backlogs
4. Diagnostic / Design Evaluation: High Impact **Service Delivery Model** to address escalation of **HIV/Aids prevalence** in the Province.
5. Evaluating the implementation and impact of the **Masibuyele Emasimini** programme on agricultural production and income generation for smallholder farmers.
6. Diagnostic Evaluation: The **International Convention Centre** and its value proposition for local economic development and emerging tourism product owners. (Determine the baseline for future impact studies, and refine project design)
7. Evaluating the impact of **provincial housing programmes**
8. Diagnostic Evaluation: Evaluating whether (how) mining and industrial parks have an impact on scaling up SMME development through local procurement
9. Evaluating the implementation of Provincial **SMME and cooperative development support strategies** (Phase 1 of proposed long term impact study)
10. Diagnostic Evaluation: Ex ante evaluation to ascertain the provincial status quo in terms of **cross border and cross boundary migration** and the potential impact thereof on **service delivery access** and associated planning and budgeting.
11. Diagnostic Evaluation: Determine the viability of a **Provincial Growth Challenge Fund** as an instrument to attract private investment and address issues of **youth unemployment**.

BACKGROUND

The National Evaluation Policy Framework

The NEPF is the last of the three policy elements that form part of the Policy Framework for the Government Wide Monitoring and Evaluation System (GWMES), which was introduced in 2005. The NEPF and the National Evaluation Plan subsequently developed by DPME seeks to address the challenge that in government, “evaluation is being applied sporadically and not informing planning, policy-making and budgeting sufficiently”. As a result, government is lacking the evidence required to improve its efficiency, effectiveness, sustainability and impact.

The NEPF and the National Evaluation System are intended to do the following:

- Foreground the **importance of evaluation** in policy-making and management

- **Promote, facilitate and institutionalise** the use of evaluation in Government
- **Strengthen linkages** between evaluation, policy-making, planning and budgeting
- Develop a **common language and conceptual base** for evaluation in Government
- Clarify the **role of evaluations** in relation to other performance management instruments
- **Frame the evaluation function** in terms of its scope, institutionalization, standards, process requirements, skill requirements, governance, financing and oversight
- Improve the **quality of evaluations** undertaken in public institutions
- Increase the **utilisation of evaluation findings** to improve performance

The overall objective of the **National Evaluation System** is to:

- Improve policy or programme **performance** – providing feedback to managers
- Improve **accountability** for where public spending is going and the difference it is making
- Improve **decision - making** e.g. on what is working or not-working
- Increase **knowledge** about what works and what does not with regards to a public policy, plan, programme, or project.

The Rationale of the Provincial Evaluation Plan

Government performance, service delivery and the socio-economic development impact thereof can be strengthened by institutionalising an effective and efficient evaluation system and culture into the management functions of all departments.

Evaluations provide the evidence required for improvement plans that address delivery challenges. As the Province approaches the start of a new five year cycle, strategic and operational review and planning processes provide an ideal platform for the institutionalisation of evaluation as a core management practice. As a first step, departments should:

- allocate **sufficient budget** for annual and 3 year evaluations
- **identify suitable individuals** responsible for evaluation and build their capacity to design and implement relevant evaluations

Government Approach to Evaluation

The NEPF defines evaluation as “the systematic collection and analysis of evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability, and recommend ways forward.”

The value added by utilising evaluations has its foundation in the expectation that government will utilise evaluation findings and results as the basis for developing, publishing and implementing **improvement plans**.

The **links between planning and evaluation** are emphasised as a principle in the NEPF - “if plans do not clearly identify results or outcomes and impacts, how will these be achieved and how will these be measured...”

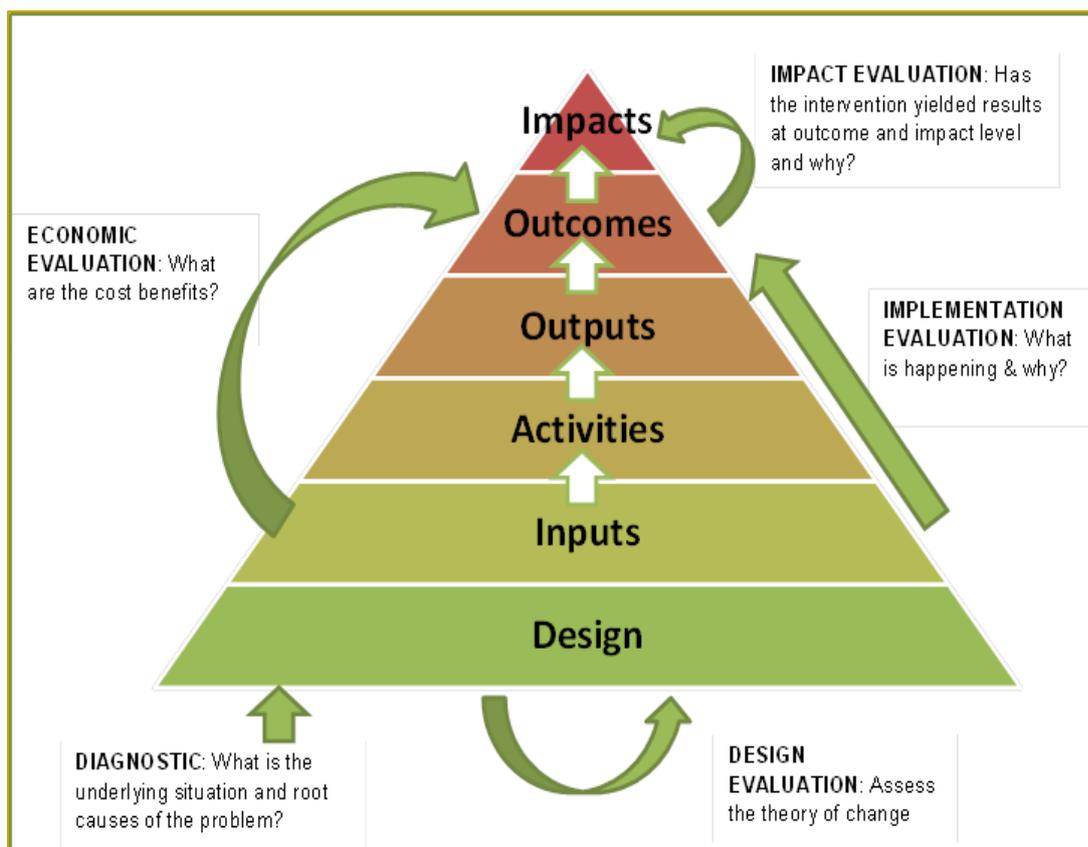
Plans should identify good quality measurable indicators that will be monitored during implementation – failure to collect baseline information on these indicators and to monitor and record changes to the indicators during implementation makes evaluation difficult.

In order to be evaluated, all plans should meet the requirements described above, including the long-term national vision and development plan, five year national and provincial plans aligned to the electoral cycle, delivery agreements for outcomes, sectorial plans, and programme and project plans.

If government’s strategic priorities are to be achieved then these priorities should also be traceable across the levels of government, through the different plans. In other words, there should be a “line of sight” across the plans.

Uses and Types of Evaluations

The NEPF proposes the following types of evaluation based on the National Treasury’s Results Based Pyramid model. The intention is to develop a common language and standard procedures within the GWM&ES



The following table¹ summarises the **types of evaluation** illustrated above and outlines their uses:

Type of evaluation	Covers	Timing
Diagnostic Evaluation	This is preparatory research (often called ex-ante evaluation) to ascertain the current situation prior to an intervention and to inform intervention design . It identifies what is already known about the issues at hand, the problems and opportunities to be addressed, causes and consequence, including those that the intervention is unlikely to deliver, and the likely effectiveness of different policy options. This enables the drawing up of the theory of change before the intervention is designed.	At key stages prior to design or planning
Design evaluation	Used to analyse theory of change, inner logic & consistency of the programme, either before a programme starts, or during implementation. This is quick to do & uses only secondary information & should be used for all new programmes. It assesses the quality of the indicators and the assumptions.	After an intervention has been designed, in first year, and possibly later
Implementation evaluation	Aims to evaluate whether an intervention's operational mechanisms support achievement of the objectives or not & understand why. Looks at activities, outputs, & outcomes, use of resources & the causal links. It builds on existing monitoring systems, & is applied during programme operation to improve the efficiency & efficacy of operational processes. It assesses the quality of the indicators & assumptions. Can be rapid, primarily using secondary data, or in-depth with extensive field work.	Once or several times during the intervention
Impact evaluation	Measure changes in outcomes (and the well-being of the target population) that are attributable to a specific intervention. Its purpose is to inform high-level officials on the extent to which an intervention should be continued or not, & if there are any potential modifications needed. Implemented on a case-by-case basis.	Designed early on, baseline implemented early, impact checked at key stages e.g. 3/5 years
Economic evaluation	Economic evaluation considers whether the costs of a policy or programme have been outweighed by the benefits. Types of economic evaluation include: Cost-effectiveness analysis , which values the costs of implementing and delivering the policy, and relates this amount to the total quantity of outcome generated, to produce a “cost per unit of outcome” estimate (e.g. cost per additional individual placed in employment); and Cost-benefit analysis (CBA) , which goes further in placing a monetary value on the changes in outcomes as well (e.g. the value of placing an additional individual in employment).	At any stage

¹ DPME (2011) *National Evaluation Policy Framework* p. 9

Audit of Provincial Evaluations

In 2013 the M&E Unit in the Office of the Premier conducted a survey with provincial sector departments in order to determine the number and type of evaluations conducted in the Province in the period 2009 – 2013.

The results of this preliminary audit indicated that:

- Of the 11 departments surveyed, only 6 listed evaluations that were completed during the 2009 – 2013 period
- The **concept of “evaluation”** is variously applied and understood (some departments have listed surveys or tools as evaluations, or have been unable to state the type of evaluation conducted)
- All responses indicate that the **development and use of improvement plans** based on the evaluations is absent
- There is little evidence that the **impact or value addition** of the evaluation process, beyond the completion of the associated report, is appreciated.

2014 – 2016 Evaluations: Process and Criteria for Selection

The NEPF, key DPME guidelines and templates (e.g. evaluation concept note) and the proposed pilot process were presented to and discussed with all provincial M&E officials.

The original list of approximately 26 evaluations proposed by sector departments and the Office of the Premier for the 2014/16 period was assessed by the PETWG in terms of:

- content
- scope
- applicability to provincial priorities
- available budget
- innovation
- stage of development (i.e. problem statement, concept note, ToRs etc.)
- strategic importance for planning and learning

Eleven proposed evaluations have been identified for implementation across a three year period, with **three being prioritised** for completion in the 2014/15 financial year:

SUMMARY OF PROPOSED EVALUATIONS (2014 – 2016)

	TITLE	PROVINCIAL PRIORITY	IMPLEMENTING DEPARTMENTS	TYPE	KEY QUESTIONS	IMPLEMENTATION YEARS			TOTAL BUDGET
						14/15	15/16	16/17	
1	<i>The Role of Challenge Funds in Provincial Economic Development and Job Creation</i>	Improved economic growth and employment	Office of the Premier	Diagnostic / Design	<p>Can a Provincial Growth Challenge Fund boost private sector investment and address youth unemployment?</p> <p>Is such a fund feasible and what are the associated risks?</p> <p>How would the mechanism operate (management, funding, resources etc.)</p>	✓			R665 000
2	<i>Developing a Low Cost / High Impact Service Delivery Model to address the escalation of HIV/Aids prevalence in the Province</i>	Health System Effectiveness	Office of the Premier Health Social Development	Diagnostic / Design	<p>Are there additional approaches to HIV/Aids strategies that can contribute positively to the reduction of prevalence through direct community involvement?</p> <p>Is this model replicable? Scalable? Affordable?</p>	✓			R600 000-00
3	<i>Evaluating the effectiveness and efficiency of the Rapid Implementation Unit (RIU) as a coordinating mechanism to accelerate service delivery and reduce backlogs.</i>	Adequate Infrastructure to Facilitate Achievement of Prioritised Outcomes	Office of the Premier	Implementation	<p>Was there a significant impact on the backlog?</p> <p>Were the institutional arrangements appropriate, effective & efficient?</p> <p>Is the model replicable? What lessons were generated?</p>	✓			R250 000-00

	TITLE	PROVINCIAL PRIORITY	IMPLEMENTING DEPARTMENTS	TYPE	KEY QUESTIONS	IMPLEMENTATION YEARS			TOTAL BUDGET
						14/15	15/16	16/17	
4	<i>Determining the impact of cross border and cross boundary migration on service delivery access and associated planning and budgeting.</i>	Access to basic services	Office of the Premier COGTA	Diagnostic	Does provincial planning and budgeting for service delivery take into account cross border / boundary migration? What is the impact in terms of resources for and access to basic services? How can interprovincial co-operation improve access to services e.g. schools and clinics Case study KZN / MP		✓		R700 000-00
5	<i>Evaluating the implementation and impact of the Masibuyele Emasimini programme on agricultural production and income generation for smallholder farmers in the Bushbuckridge region.</i>	Food security Improved economic growth and employment	Office of the Premier Agriculture, Rural Development, Land & Environmental Affairs	Implementation / Impact	Was implementation effective & efficient? Has the income of small scale farmers in the region increased? Has agricultural production in the region increased as a result of ME inputs? Has the programme delivered value for money?		✓	✓	R1 900 000-00
6	<i>Evaluating the Impact of the EPWP Phase II in the Province: Addressing Job creation, poverty alleviation and skills development.</i>	Improved economic growth and employment	Public Works, Roads and Transport	Impact	How have beneficiaries lives changed as a result of the programme? Contribution to job creation & skills development? Was the integrated grant implemented effectively & efficiently? Has programme coordination & institutional arrangements been effective & efficient?	✓			R1 800 000-00

	TITLE	PROVINCIAL PRIORITY	IMPLEMENTING DEPARTMENTS	TYPE	KEY QUESTIONS	IMPLEMENTATION YEARS			TOTAL BUDGET
						14/15	15/16	16/17	
7	<i>The Mpumalanga International Fresh Produce Market: Will it improve the livelihoods of small scale farmers in the Province?</i>	Improved economic growth and employment	Office of the Premier Agriculture, Rural Development, Land & Environmental Affairs	Diagnostic/Implementation	What is the proposed socio-economic effect of the MFPM on small farmers in the Province? How will a positive effect be facilitated (feasibility /implementation approach)? How will impact be measured? – Generation of baseline data.		✓		R650 000-00
8	<i>The International Convention Centre: What is the value proposition for local economic development and emerging tourism product owners in and around Mbombela?</i>	Improved economic growth and employment	Economic Development and Tourism Office of the Premier	Diagnostic	Is it feasible to establish an ICC in Mbombela? What would the socio-economic development footprint be? Will the ICC generate sufficient revenue and how will this affect emerging tourism product owners?		✓		R600 000-00
9	<i>Performance Review: Twenty Years of Housing Delivery in Mpumalanga (1994 – 2014)</i>	Housing, Infrastructure, Basic Services	Human Settlements	Impact / Implementation	Has implementation delivered against the stipulated targets? Has implementation been appropriately coordinated, resourced etc.	✓			
10	<i>Are Mining and Industrial Parks suited to scaling up SMME development through local procurement?</i>	Improved economic growth and employment	Economic Development and Tourism	Diagnostic Evaluation – determines baselines for future impact study	What is the current baseline with regard to small business development along the manufacturing and mining value chains? How (performance questions / indicators) will the impact of the approach be measured in future? Critical success factors / risks?		✓		

	TITLE	PROVINCIAL PRIORITY	IMPLEMENTING DEPARTMENTS	TYPE	KEY QUESTIONS	IMPLEMENTATION YEARS			TOTAL BUDGET
						14/15	15/16	16/17	
11	<i>Assessing Provincial Cooperative and SMME Development Support Strategies</i>	Improved economic growth and employment	Economic Development and Tourism Agriculture, Rural Development, Land and Environmental Affairs	Implementation	Does the current approach create a foundation for business success? Does the current approach lead to an increase in cooperative / SMME sustainability?		✓		