



Western Cape
Government

Agriculture

BETTER TOGETHER.



Departmental Evaluation Plan 2016/17

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FOREWORD BY THE ACCOUNTING OFFICER

Assessing and reflecting on past actions are often difficult to do, and making the time for such an assessment (in today's hectic rush) is proving quite a challenge. Self-assessment is important, but often the serious challenges can be justified easily and also ignored, depending on perceptions, perspectives, situational context, and more.

Perhaps, then it is much easier not to assess nor reflect. But displays a cunning similarity to an ostrich burying its head in the sand (despite the fact we are in agriculture?). All the reasons not to do, are easy to document because then no-one in the Department need to take responsibility for spending taxpayers money on the right service delivery imperatives.

The evaluation plan of the Department of Agriculture presents no easy options, but started with one decision: We must assess and reflect on the actions we have taken so that we can improve services to our clients. This hard decision already proved that assessments (evaluations) have a place in the governance context of government and it added value to the quality and mechanisms of service delivery.

The Department will continue to push the need for evaluations and the concomitant plans to address (fix) the challenges highlighted. Evaluations have become for the Department of Agriculture, a guiding principle within the enterprise risk management system, so that we take responsibility and accountability for decisions made over many years to service the clients better.



MS J. S. ISAACS
HEAD OF DEPARTMENT

TABLE OF CONTENTS

| | PAGE |
|--|-------------|
| EXECUTIVE SUMMARY | |
| 1 Introduction | 1 |
| 1.1 Vision | 1 |
| 1.2 Mission | 1 |
| 1.3 Values | 1 |
| 1.4 Legislative and other Mandates | 1 |
| 1.5 The Strategic Goals of the Department | 2 |
| 1.6 Department's approach to evaluation (and research) | 2 |
| 1.7 The National Evaluation System | 3 |
| 2 Purpose of the Departmental Evaluation Plan (DEP) | 5 |
| 3 Linkages to wider evaluation plans and systems | 7 |
| 3.1 Linkage to (national or provincial) evaluation plans | 7 |
| 3.2 Linkage to planning | 7 |
| 4 Departmental evaluation system | 8 |
| 4.1 Resources & structure of the department to support evaluation | 8 |
| 4.2 Departmental evaluation cycle | 10 |
| 5 Departmental evaluations (and research) undertaken in the last 3 years | 12 |
| 6 Summary of evaluations (and research) proposed for 2015/16 to 2016/17 | 19 |
| 6.1 Criteria and process used for selection for the Departmental Evaluation Plan | 19 |
| 6.2 Summary of evaluations proposed for the Departmental Evaluation Plan | 19 |
| 7 Detailed concepts for evaluations (and research) for 2016/17 | 21 |
| 7.1 Implementation/design evaluation of the agriculture scenarios evaluation programme | 21 |
| 7.2 Background to the evaluation | 21 |
| 7.3 Importance of the evaluation | 24 |
| 7.4 Purpose of the evaluation | 24 |
| 7.5 Type of evaluation | 25 |
| 7.6 Key questions to be addressed | 25 |
| 7.7 Principal audience | 25 |
| 7.8 Change management strategy | 25 |
| 7.9 Resource implications | 25 |
| 7.10 Timing and duration | 26 |
| 8 Key implementation issues | 26 |
| 8.1 Capacity to undertake the evaluations | 26 |
| 8.2 Institutional arrangements | 26 |
| 8.3 Funding of the evaluations in the Plan | 27 |
| 8.4 Follow-up to the evaluations | 27 |
| REFERENCES | 28 |

GLOSSARY

| | |
|-------|---|
| BPS | Business Planning and Strategy Directorate |
| CASP | Comprehensive Agricultural Support Programme |
| CRDP | Comprehensive Rural Development Programme |
| DAFF | Department of Agriculture, Forestry and Fisheries |
| DEC | Departmental Evaluation Committee |
| DEP | Departmental Evaluation Plan |
| DPME | Department of Planning, Monitoring and Evaluation |
| DG | Director General |
| GVA | Gross Value Added |
| HOD | Head of Department for the Western Cape Department of Agriculture |
| MAP | Market Access Programme |
| M&E | Monitoring and Evaluation |
| MAP | Market Access Programme |
| MIP | Management Improvement Plan |
| NDP | National Development Plan |
| NEP | National Evaluation Plan |
| NEFP | National Evaluation Policy Framework |
| NEPF | National Evaluation Policy Framework |
| NES | National Evaluation System |
| NO | National Outcomes |
| NPC | National Planning Commission |
| PSG | Provincial Strategic Goals |
| SCM | Supply Chain management |
| WCDoA | Western Cape Department of Agriculture |
| WCG | Western Cape Government |

EXECUTIVE SUMMARY

This document presents the Western Cape Department of Agriculture (WCDoA) Evaluation Plan for 2016/17-2017/18 financial years. Included in this plan is a narrative of the journey travelled towards institutionalising the culture of programme monitoring and evaluation within the Department. WCDOA was one of the early adopters of the idea that evaluation is a useful adjunct to existing government practice. In 2013, the Department commenced a multi-year rolling evaluation programme. It commissioned four externally driven evaluations during the 2013/14 financial year and with the process generating momentum, an additional 13 evaluations were undertaken. Ten evaluations have been completed and the remainder are scheduled for completion in 2016. The evaluations in question comprise diagnostic, design, implementation and impact evaluations.

The intensity of the WCDoA evaluation programme requires a respite for reflection and consolidation of work done and for this reason, the HOD (as the M&E champion) took a strategic decision in 2015 to conduct only one evaluation in 2016/17 financial year. It is a diagnostic and design evaluation of the future of agriculture in the Cape Winelands District to understand the trends, trend breaks and uncertainties influencing the future of the Agricultural Sector in the Western Cape Province. The outcome will provide the Department with valuable evidence-based data to guide its intervention programmes in local authorities and to respond to global challenges confronting the Sector. This study will provide municipalities with information to assist local authorities to develop their strategic plans after 2016 local elections.

The Department derives its mandate from the Strategic Framework for Province-wide Monitoring and Evaluation developed in 2015, the National Evaluation Policy Framework (NEPF) of 2011 and the Department of Planning Monitoring and Evaluation (DPME) guidelines. The Department, by embracing these frameworks is able to draw a clear distinction between *monitoring* and *evaluation* of its programmes. Monitoring is interpreted as a management function that requires managers to constantly quantify (verified by external audit) achievements towards targets using pre-set indicators. Evaluations on the other hand, are considered as tools of learning to improve the effectiveness and impact of interventions, by reflecting on what is working and what is not working and revising interventions accordingly (WCG, 2015).

The evaluation process has been institutionalised through the inclusion of the Departmental Evaluation Plan (DEP) as an 'annual strategic objective' performance indicator, and the number of evaluations completed is included as a province specific indicator in the WCDOA annual performance plan (WCDOA, 2015). By institutionalising evaluations, each programme gets an opportunity to have its activities objectively reviewed and in doing so, any decision-making process that follow would be based on relevant data and information collected using scientific

methods that conform to international best practice. Furthermore, this information would provide the scientific basis for which decisions taken by management are used in planning, budgeting, organisational improvement, policy review, as well as on-going programme and project management, to improve performance during service delivery.

DEPARTMENTAL EVALUATION PLAN 2016/17 – 2017/18

1. INTRODUCTION

1.1 Vision

A united, responsive and prosperous agricultural sector in balance with nature.

1.2 Mission

Unlocking the full potential of agriculture development to enhance the economic, ecological and social wealth of all the people of the Western Cape through:

- Encouraging sound stakeholder engagements;
- Promoting the production of affordable, nutritious, safe and accessible food, fibre and agricultural products;
- Ensuring sustainable management of natural resources;
- Executing cutting edge and relevant research and technology development;
- Developing, retaining and attracting skills and human capital;
- Providing a competent and professional extension support service;
- Enhancing market access for the entire agricultural sector;
- Contributing towards alleviation of poverty and hunger;
- Ensuring transparent and effective governance.

1.3 Values

- Caring
- Competence
- Accountability
- Integrity
- Responsiveness

1.4 Legislative and other Mandates

This vision and mission statement is derived from Constitutional mandates, largely from Section 104 (1) (b) of the South African Constitution (Act 108 of 1996), which conveys the power to provinces to pass legislation on any functionality listed in schedules 4A (concurrent) and 5A (exclusive provincial). Concurrent functions include agriculture, animal and disease control, disaster management, environment, regional planning, soil conservation, trade, tourism as well as urban and rural development. Exclusive provincial mandates include provincial planning, abattoirs and veterinary services.

The interventions emanating from this mission statement are embedded and reflected through developmental lenses of the National and Provincial Government policy directives namely:

- The Planning Commission (NPC) 2011 recommendations;
- The National Development Plan (NDP) Chapter 13: 'Building a capable and developmental state';
- National Outcome 12; with the intention to establish an efficient and development-orientated public service (NPC, 2012) through a process of rigorous and ongoing evaluation and at provincial level;
- The Western Cape Government Strategic Goal 5 of the current Strategic Plan that underscores the need to strengthen good governance in the Province by *inter alia*: conducting evaluations of the services rendered to help improving performance and future management of outputs, outcomes and impact.

1.5 The Strategic Goals of the Department

Based on this vision as well as the strategic environment in the various spheres of government, the following seven Departmental Strategic Goals (DSGs) has been approved by the Provincial Cabinet:

- 1 Support the provincial agricultural sector to at least maintain its export position for the next 5 years by growing its value added from R16.349 billion in 2013.
- 2 Ensure that at least 70% of all agricultural land reform projects in the Province are successful over the next 5 years.
- 3 Support the sector (farmers and industries) to increase sustainable agricultural production (primary provincial commodities) by at least 10% over the next 10 years.
- 4 Optimise the sustainable utilisation of water and land resources to increase climate smart agricultural production.
- 5 Increase agricultural and related economic opportunities in selected rural areas based on socio-economic needs over a 10 year period and strengthen interface with local authorities.
- 6 Enhance the agri processing capacity at both primary and secondary level to increase with 10% over baseline by 2019.
- 7 Facilitate an increase of 20% in relevant skills development at different levels in the organisation and the sector over the next 10 years.

1.6 Department's approach to evaluation

Literature on management evaluation argues that for years organisations wishing to monitor and evaluate their programs have been confronted with the question on whether the activity should be undertaken by internal evaluators or external evaluators. By contrast, literature on professional evaluators emphasises that evaluations should be undertaken by external evaluators. (Conley- Tylor, 2005). The choice between internal and externally conducted evaluations and the associated

support for evaluation processes required, is an ongoing issue of discussion in the field of monitoring and evaluation (M&E). There is no clear industry standard, although the programme monitoring component of 'monitoring and evaluation' is usually internal while the 'evaluation' component is usually 'external'. Decisions in this area vary according to the purposes which are addressed by evaluation processes, the need for objectivity and the levels of expertise required in evaluation processes.

The Western Cape Department of Agriculture (WCDOA) sustains a clear distinction between internally and externally driven *monitoring* and *evaluation* processes. Monitoring is viewed as inherently a performance management function, and requires that managers should constantly quantify (verified by external audit) achievements towards targets using pre-set indicators. Evaluations on the other hand, are considered as tools of learning to improve the effectiveness and impact of interventions, by reflecting on what is working and what is not working whilst revising interventions accordingly. Although evaluating is no less rigorous, the determination of value (evaluation) is conceived by the WCDOA as being achieved on an intermittent schedule aimed at addressing particular questions of current and future programmatic significance. This requires specific and generally non-routine processes, often exceeding the skills and responsibilities of programme managers.

It is for this reason that the implementation of the DEP should be guided by a range of processes that accommodate both internal and external resources. These include assignment of responsibilities, development of a management structure and commitment of funds. Both internal capacity building exercises and external support services are designed to improving service delivery. The use of external evaluators and external support for example, is meant to address the need for impartiality and objectivity without really diluting the responsibilities of Programme managers as they will be required to take a leading role in developing terms of reference for evaluations, and in managing evaluation processes, but they are not 'evaluators'.

1.7 The National Evaluation System

The National Evaluation Policy Framework (NEPF) was approved in November 2011 and set out the approach in establishing a National Evaluation System for South Africa. It seeks to ensure that evaluation is applied systematically to inform planning, policy-making and budgeting, so contributing to improving government's effectiveness, efficiency, impact and sustainability. The purpose of promoting evaluation is:

- Improving policy or programme performance (evaluation for learning) - providing feedback to managers;
- Improving accountability for where public spending is going and the difference it is making;
- Improving decision-making e.g. on what is working or not-working;

- Increasing knowledge about what works and what does not with regards to a public policy, plan, programme, or project.

A National Evaluation Plan summarises the evaluations to be taken forward as national priorities. Provinces are also required to develop Provincial Evaluation Plans (PEPs) to support provincial priorities, and national and provincial departments are also required to develop departmental evaluation plans (DEPs). Some evaluations in departmental evaluation plans may also be proposed for support under provincial or national evaluation plans.

In all cases, departments and provinces are using the guidelines and minimum standards developed as part of the National Evaluation System (NES). The rest of this section summarises some key elements of the NES. There are 18 guidelines developed by the Department of Performance Monitoring and Evaluation (DPME) which support each of the different stages of evaluation processes.

Following these guidelines, evaluations can focus on policies, plans, programmes, projects or systems. The general term for the subject of an evaluation is 'intervention', which can be any of these. There is considerable emphasis in the guidelines on independence and quality, so that evaluations are credible. This is secured through: the use of steering committees; external evaluators selected from a panel of approved service providers; peer reviewers; role of departmental evaluation staff in ensuring quality and propriety; and independent quality assessment on completion (supported by DPME). Evaluations may be done externally through contracted service providers (more credible as distanced from management), or internally through departmental evaluation staff. If done internally it is deemed very important that systems are put in place to ensure evaluations are not unduly influenced by management with vested interests.

Once completed reports are tabled at top management, and improvement plans are developed and monitored, so that there is follow-up. If they are departmental evaluations, the implementation of improvement plans will be monitored by the department. If also part of the NEP/PEP they will be monitored by DPME/OTP.

In principle, evaluations are made public, tabled in the legislature and on departmental websites, although in some cases they may be kept confidential. In general, as they are using public funds the reports should be available to the public.

The main types of evaluation are:

- Diagnostic – to understand the problem, the root causes and options available, which should be conducted prior to designing a new intervention or reviewing challenges facing an existing one;
- Design evaluation – to assess whether the design of the intervention is robust and likely to work;

- Implementation – to understand how the intervention is working (often checking the theory of change), and whether it is likely to reach the outcomes;
- Impact evaluation – focusing on what outcomes or impacts are happening as a result of the intervention. This is difficult to do as you need to separate changes happening due to other factors. Impact evaluations should be designed in from the inception of an intervention, so the right data is collected, if appropriate a random sample is identified of people receiving the intervention to compare with those not receiving it, and in many cases a baseline is carried out on those receiving/not receiving it.
- Economic evaluation – looking at cost-benefits or cost-effectiveness.

Note these types can be combined; e.g. a design evaluation element may be incorporated in an impact evaluation to determine what intervention design features should be changed or incorporated in order to optimise cost-benefit ratios or improve cost-effectiveness.

2. PURPOSE OF THE DEPARTMENTAL EVALUATION PLAN (DEP)

The WCDoA Evaluation (and research) Plan is designed to provide details of evaluation(s) approved by the department as priority evaluations to undertake during the 2016/17 financial year and which are linked with the budget process.

Before discussing the 2016/17 prioritised evaluation(s), it is important to flag the status of the evaluation programme within the Department to understand the adopted pathway. The WCDoA has over the past three years embarked on seventeen evaluations. Ten were successfully completed and the remainder are scheduled for completion in 2016. Table 1 below presents a truncated version of the evaluations in progress and for the record, an evaluation is considered complete once a Management Improvement Plan (MIP) has been developed and signed off by the accounting officer. It is for this reason; that some listed evaluations are presented as incomplete.

Table 1: WCDoA evaluations in progress in 2016.

| PERIOD | EVALUATION | TYPE | IMPLEMENTATION STATUS |
|--------|------------------------------|----------------------------------|-----------------------|
| 2016 | Service needs of farmers | Diagnostic & design | MIP phase |
| | Legislative environment | Diagnostic and Impact | MIP phase |
| | Commodity approach | Implementation & Impact | MIP phase |
| | Agribusiness Investment Unit | Design, implementation &, impact | MIP phase |
| | Comprehensive | Design | In progress |

| PERIOD | EVALUATION | TYPE | IMPLEMENTATION STATUS |
|---------------|---|----------------------------------|------------------------------|
| | Rural Development Programme model design | implementation & impact | |
| | Dairy research | Diagnostic evaluation | In progress |
| | Databases | Diagnostic, design | In progress |
| | Water use efficiency | implementation & impact | In progress |
| | Meat safety | Impact | In progress |
| | Ten years of training | Impact evaluation | In progress |
| 2016/17 | Agricultural scenarios – Future of agriculture in the Cape Winelands district (WC Province) | Diagnostic and design evaluation | Planning phase |

According to the National Evaluation Policy Framework (NEPF) guidelines, the process to sign off the MIP involves a number of steps that include tabling the report internally and getting an official management response to the recommendations indicating which issues fall within the responsibility of the programme manager, those that must be addressed beyond the scope of the manager, and the rationale. The last stage requires the programme manager to draw up the plan to be officially signed off by the accounting officer for implementation.

To give effect to the NEPF recommendations, the WCDoA accounting officer took stock of evaluations commissioned during the 2015/16 financial year. The outcome was that 8 evaluations are in progress at different phases of implementation. In consultation with the management, she gave a directive to first consolidate the outstanding projects and sign off the evaluation processes before commissioning another round of evaluations. For this reason, one evaluation will be commissioned this financial year. It is a diagnostic and design evaluation of the future of agriculture in the Cape Winelands District; to understand the trends, trend breaks and uncertainties influencing the future of the Agricultural Sector of the Cape Winelands. This prospective (aimed at answering forward looking questions) evaluation study will generate a number of scenarios, which will provide valuable information on the future direction of agriculture in the Western Cape. Detailed information is provided below.

3. LINKAGES TO WIDER EVALUATION PLANS AND SYSTEMS

3.1. Linkage to (national or provincial) evaluation plans

This DEP forms part of the national/provincial evaluation plans and priorities, by virtue of it being:

- a) Strategically aligned to the departmental objectives and priorities of Government as articulated in the: National Evaluation Policy Framework (NEPF); Strategic Framework for Province-wide Monitoring and Evaluation (2015); and National Evaluation Plan (NEP) together with chapter 6 of the National Development Plan (NDP) that focusses specifically on the development of the rural economy of South Africa;
- b) Aligned to 'National Outcome 12: An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship'. This outcome in particular identified M&E as one of the key interventions required to change the current slow implementation pace of policies and programmes;
- c) Aligned to the Provincial government's 'Strategic Goal 5: Embed good governance and integrated service delivery through partnerships and spatial alignment', which includes a call for province-wide monitoring and evaluation as one of the outcomes.

3.2. Linkage to planning

This DEP will commission one evaluation study in the 2016/17 financial year. The evaluation study is designed to influence planning and budgeting in all three spheres of Government from different angles. From a national strategic perspective, the agricultural sector is confronted by a range of challenges; including natural, social, political/institutional, technological and economic factors.

The Western Cape agricultural sector is not immune to these challenges. It is a question of when and how challenges will impact on our Agricultural Sector, which particular elements must be mitigated against or stabilised, and which interventions need to be supported and at what cost. What is certain from this study is that any decision made to respond to these issues would be based on relevant data and information collected using scientific methods that conform to international best practice. Ultimately, the study will provide the scientific basis for determining which decisions taken by management will be used in planning, budgeting, organisational improvement, policy review, as well as on-going programme and project management; to improve performance during service delivery in local municipalities.

From a policy, planning and budgeting perspective, the DEP is intended to deliver on the following:

- a) The National Outcomes (NO) that gives expression to the NDP developmental vision, objectives and associated targets to be achieved. In this context, the following NOs have particular relevance in this plan:
- NO 4: Decent employment through inclusive growth;
 - NO 7: Vibrant, equitable, sustainable rural communities contributing towards food security for all;
 - NO 10: Protect and enhance our environmental assets and natural resources.
- b) At the Provincial government level, the following Strategic Goals (PSG) have particular relevance in this plan:
- PSG 1 Create opportunities for growth and jobs.
 - PSG 3: Increase wellness, safety and tackle social ills (including food security)
 - PSG 4: Enable a resilient, sustainable, quality and inclusive living environment, which includes land and water resources.
- c) Within the WCDoA, there are 7 Departmental strategic goals and this plan has been included as an 'annual strategic objective' performance indicator, and the number of evaluations completed as a province specific indicator in WCDOA annual performance plan (see Section 1.5).
- d) At municipal level, the forthcoming local elections require municipalities to develop new strategic plans and these plans must be developed grounded on scientific data and for this reason, the outcome of this evaluation would be invaluable in shaping the planning process.

4. DEPARTMENTAL EVALUATION SYSTEM

4.1 Resources & structure of the department to support evaluation

The following ingredients and resources have been instituted to support the Departmental Evaluation Plan:

- a) Full and visible support system from National and Provincial Government:
The first layer of support comes from the DPME. By initiating an audit of government evaluations, DPME accelerated the realisation of value gained through the evaluation of projects and processes at sub-national level. The second layer of support is from the Western Government that embraced the DPME request to audit government evaluations, thus giving impetus to the process in our Department. However, the most important element of support has been provided by the accounting officer (WCDOA HOD) who passionately embraced evaluations as a management tool and insisted that progress with evaluations should be included in the performance agreements of programme managers.

- b) Programme Managers in turn have cascaded the conduct and ownership of evaluations down to the performance agreements of the relevant personnel. In this way, progress with this evaluation and many others become directly related to the performance evaluation of the respective officials. The effectiveness of this system of accountability has resulted in the necessary confidence to include evaluations as a departmental APP performance indicator.
- c) Dedicated Internal Departmental support structure:
The WCDOA established an Evaluation Committee to oversee evaluations and to ensure synergy between the various programmes performing evaluations. The Head of Department mandated this committee to conduct certain functions and to coordinate activities between evaluations, with the result that synergy between evaluations were created.
- d) External stakeholder support systems:
WCDOA programme managers establish 'reference groups' to support evaluations comprising Government officials and industry stakeholders. They are readily available and consulted in resolution of problems faced in evaluation processes. Hence, most deviations from evaluation plans can be discussed and be resolved before implementation. This reduces a range of risks related to the quality of the evaluation and managing risks associated with the usage of external evaluators. Closely tracking evaluation stages and processes in a systematic way has been a strong assistance in this regard.
- e) Strategic contracting of an external expert on evaluation as the resource person:
WCDoA contracted a resource person from outside of the Department to support the evaluations process. The officials responsible for each evaluation are allowed to follow an open door approach to access the resource person at key points in evaluation process management. This arrangement has kept the responsibility for evaluations firmly in the hands of programme managers, while providing them with a resource for guidance as and when needed.
- f) Strategic utilisation of National Treasury Regulation 16A6.6:
At the national level the DPME bi-annually compile a panel of professional service providers for evaluation and research. During the development of this panel, an open and inclusive process is followed to involve all potential evaluation service providers. More importantly, during this process the ability of a potential service provider is also vetted. It is fortunate that National Treasury Regulation 16A6.6. allows any department to partake in the tender processes of any other department if the accounting officer of the former request permission from the accounting officer of the latter. By following this route, the WCDOA can "piggy back" on DPME's tender and it removes the

need for the WCDOA (or the Province) to either compile its own panel or go out on an open tender. The WCDOA is eligible to approach the panel members individually or collectively and request them to submit a bid; in this way simplifying procurement procedures considerably.

4.2 Departmental evaluation cycle

The Departmental Evaluation Plan is rolled out annually, with the timing linked to the budget process to enable budgeting for evaluations. This alignment is also important for the management to timeously consider those evaluations to be submitted for consideration for the PEP.

To kick-start the process, an annual evaluation-writing workshop is convened by WCDoA Evaluation resource person between the month of February and March. The workshop is aimed at participants who are responsible for developing evaluation Terms of Reference (TORs) and managing or supporting evaluation processes. The programme consists of a series of presentations incorporating discussion, each followed by participants guided through exercises that require them to develop their own evaluation protocols. Other matters considered during the workshops include when and how to commission an evaluation and how to manage an evaluation within the context of the Provincial and Departmental Evaluation Plan, using the set standards and guidelines.

The approved annual cycle for developing the WCDOA evaluation plan is presented in Table 2 and 3 below. Please take note of our unique situation. As part of the cost containment strategy, the Department does not have a standalone M&E unit to coordinate evaluations. This function was allocated to the Business Planning and Strategy Directorate (BPS) and it is the same unit that will manage the single evaluation to be done in 2016/17 financial year. For this reason, some of the processes listed under phase 1 will not be applicable as the Programme Manager has extensive experience in coordinating evaluations.

Table 2: Phase 1: Preparing the DEP : Agriculture Scenarios

| Action | Responsibility | Timeline |
|------------------------------------|--|---------------|
| Call for proposals | Business Planning and Strategy Directorate (BPS) | March 2015 |
| Writing workshop for concept notes | BPS Programme manager | March 2015 |
| Concept notes received | BPS Programme manager | March 2015 |
| Concept notes prioritised/selected | BPS Programme manager | March 2015 |
| Meet with Management to agree | BPS Programme manager | May 2015 |
| Departmental evaluation | BPS Programme Manager | Mid-June 2015 |

| Action | Responsibility | Timeline |
|--|-----------------------|----------------|
| plan drafted | | |
| DEP submitted to EXCO for approval | BPS Programme manager | End June 2015 |
| Evaluation included in budgets | BPS Programme manager | June 2015 |
| DEP signed off by HOD | HOD | End July 2015 |
| Possibility of scoping workshop to discuss focus of evaluation | BPS Programme manager | August 2015 |
| Capacity building workshop | BPS Programme manager | September 2015 |

Table 3: Phase 2: Undertaking the evaluation: Agriculture Scenarios

| | Action | Responsibility | Timeline |
|--------------|--|--|---------------|
| | Terms of Reference completed | Programme manager | April 2016 |
| External SPs | Call for proposals from service providers out | SCM & BPS | April 2016 |
| | Bidders briefing | Dir: BPS | April 2016 |
| | Bids received | SCM | May 2016 |
| | Shortlist selected | SCM & BPS Programme manager | May 2016 |
| | Bidders presentation | SCM/ BPS Programme manager/ DEC | June 2016 |
| | Service provider selected | Bid Committee | June 2016 |
| | Service provider appointed | HOD | July 2016 |
| | Inception report submitted (for an internal evaluation this will still be needed but may be different) | Evaluator; DEC and BPS Programme manager | July 2016 |
| | Draft report | Evaluator | February 2017 |
| | Stakeholder validation workshop | BPS Programme manager | March 2017 |
| | Final report | Evaluator | April 2017 |
| | Final report approved | DEC; BPS Programme manager | May 2017 |
| BPS | Programme Improvement Plan | HOD & BPS Programme manager | June 2017 |

5. DEPARTMENTAL EVALUATIONS (AND RESEARCH) UNDERTAKEN IN THE LAST 3 YEARS

The WCDOA commenced its evaluation programme in 2013. Table 4 below presents salient aspects of some of the external evaluations commissioned by the WCDOA during the last 3 years.

Table 4: Departmental evaluations undertaken in the last 3 years

| Departmental programme | Title (include type of evaluation in the title) | Focus (purpose) of evaluation/ research | Status | Date of Completion | Implementation of findings (progress) |
|-------------------------------|--|---|--------------------------------------|---------------------------|---|
| Programme 1 | A diagnostic and design evaluation of the service needs of different farmer categories | The purpose of this diagnostic evaluation was to provide the scientific foundation for determining the service needs of farmer categories in the WC Province and which of these were best delivered by the WCDOA or its partners. | Research Completed & MIP in progress | 2014 | <p>Clear differences between the needs of various farmer categories emerged. These will be addressed per farm category.</p> <p>A Programme Improvement Plan is in progress to address the findings (e.g. improvement of interaction by all farmer categories with a departmental official from time to time; support with social transformation and land reform).</p> |

| Departmental programme | Title (include type of evaluation in the title) | Focus (purpose) of evaluation/ research | Status | Date of Completion | Implementation of findings (progress) |
|------------------------|--|---|--------------------------------------|--------------------|--|
| Programme 1 | Diagnostic evaluation of the legislative environment of the Agricultural Sector in the Western Cape. | A diagnostic evaluation to understand the collective impact of the legislative environment on farming in the Province and to propose ways to strengthen positive and ameliorate negative impacts. Individuals and organs of state only focus on the objectives they want to achieve with very little attention given to the wider impact of the measures; particularly when combined with other measures. | Research Completed & MIP in progress | 2015 | <p>During this evaluation 47 issues were raised by participants and 71 recommended actions were proposed. Following a collective prioritisation process, farmers identified the five most important legislative constraints:</p> <ul style="list-style-type: none"> a) The burden to house workers falls on farmers and there are concerns regarding ESTA; b) Complexity, cost and delays in accessing water rights; c) Expensive and cumbersome approval process for Environmental Impact Assessments (EIA); d) Challenges for smallholder farmers to access governments preferential procurement system; and e) Restrictive labour legislation. |
| Programme 3 | WC agricultural land reform project performance evaluation | An impact evaluation to determine the success of the 246 agricultural land reform projects supported by the department from 1 April 2009 to 31 March | Completed | 2014 | Contrary to expectations, 62% of supported land reform projects in the WC were found to be successful or highly successful. Targeted interventions such as the 'Market access programme', 'Financial |

| Departmental programme | Title (include type of evaluation in the title) | Focus (purpose) of evaluation/ research | Status | Date of Completion | Implementation of findings (progress) |
|------------------------|---|---|--------------------------------------|--------------------|---|
| | | 2013. This support took place through the Comprehensive Agricultural Support Programme (CASP) and/or Ilima-Letsema grants. | | | record keeping', 'Cooperative development support', and 'Facilitation of access to finance' are part of the programme improvement plan. |
| Programme 3 | Impact evaluation of the food security programme on household food security in the Western Cape | An Implementation and impact study done to determine the extent to which the food security programme makes a difference on household food security in the Western Cape and is successful and sustainable This project was implemented from April 2009 to March 2014 | Research Completed & MIP in progress | 2015 | Contrary to expectations, it was found that: a) Household food gardens are less productive than community gardens; b) Productivity levels decrease as parcel size increases; and c) The older the age group of the household head the lower the prevalence of being unproductive. Nevertheless, average monthly earnings from food production for productive households were R104 in addition to food consumed. Still, this income was only the third most important for the household. |
| Programme 3 | Implementation and Impact of the WCDoAs' | To determine the extent to which the Commodity Approach makes a difference in the | Research Completed & MIP in progress | 2016 | Through the use of better, more sustainable farming practices, higher quality inputs, and increased mechanisation, the Commodity |

| Departmental programme | Title (include type of evaluation in the title) | Focus (purpose) of evaluation/ research | Status | Date of Completion | Implementation of findings (progress) |
|------------------------|---|---|-----------|--------------------|---|
| | Commodity Approach | development of smallholder farmers, to identify unintended and indirect outcomes of the programme, to analyse the key interventions and their contribution to the outcomes of the programme and finally, to develop recommendations for the improvement of programme design and implementation. | | | <p>Approach plays a role in transforming agriculture and supporting new entrants into farming It contributes towards improved productivity for project farms. However, the timeframes required to see notable changes in productivity are greater than those associated with the Commodity Approach.</p> <p>As part of the MIP, Projects' contractual agreements should stipulate that projects are required to submit progress reports for three years post-support to improve performance monitoring.</p> <p>To realise the greatest value from the mentorship component, mentorship should extend beyond the technical aspects of farming to include business and administration training.</p> |
| Programme 5 | Evaluation of the impact of the long-term crop rotation trials at | An Implementation and impact evaluation to provide feedback on the impact of the long-term crop rotation trials on the | Completed | 2015 | As part of the MIP the majority of farmers in the region (98.8%) are implementing crop rotation and it has had a positive impact on farming in the area. The positive impact can be |

| Departmental programme | Title (include type of evaluation in the title) | Focus (purpose) of evaluation/ research | Status | Date of Completion | Implementation of findings (progress) |
|-------------------------------|---|--|--------------------------------------|---------------------------|---|
| | Langgewens | sustainability of farming systems in the grain producing areas of the Swartland. The rotational crop trials started in 1996 and have been implemented continuously since then. | | | seen through positive financial margins (50% of farmers indicate at least a 20% improvement), reduced disease pressure and lower weed infestation. |
| Programme 6 | An evaluation of the Market Access Programme (MAP) | An implementation and impact evaluation to assess the results of the first three years of the WCDOA's MAP. The evaluation covered the period from 2010 to March 2012. | Completed | 2014 | The evaluation revealed that the majority of farmers selected to participate in the programme were not 'market ready' and could not profitably exploit and sustain the market access linkages provided by the Department. Hence, the MIP intervention has been restructured into a Market Readiness Programme and the intervention would cover a longer period and closer linkages with extension services. |
| Programme 6 | Assessment of the Western Cape Agribusiness Investment Unit | A design, implementation and impact evaluation of the AIU based on the satisfaction levels of existing investors supported | Research Completed & MIP in progress | 2015 | It was found that investment decisions were influenced by the governance, economic and political environment of the region and the AIU was considered to be another |

| Departmental programme | Title (include type of evaluation in the title) | Focus (purpose) of evaluation/ research | Status | Date of Completion | Implementation of findings (progress) |
|------------------------|--|--|--------------------|--------------------|--|
| | (AIU) | by the AIU. | | | investor draw card. Some of the most important deterrents voiced by investors included: a) Concerns about shortages in skilled labour; b) Rising cost of water and electricity; and c) Red tape and the lengthy application process for incentives. |
| Programme 7 | Evaluation of the impact of agricultural learnership in the WC | An implementation evaluation to determine the effectiveness of the WCDOA's Learnership Programme by identifying success areas and gaps in the programme that required improvement. This evaluation covered the period between 2005 and 2012. | Completed | 2014 | A programme improvement plan has been developed to address the following gaps: a) Inadequate needs assessments done, misalignment of course modules with seasonal farming requirements and practical farming applications; and b) Inadequate marketing of the programme to both potential learners as well as farmers/employers; and ineffective selection criteria of learners to ensure that people with passion for agriculture as career of choice are enrolled. |
| Programme 8 | Implementation evaluation of | To assess the successes and challenges of | Research Completed | 2014 | Although the CRDP created a large number of jobs, these were short term |

| Departmental programme | Title (include type of evaluation in the title) | Focus (purpose) of evaluation/ research | Status | Date of Completion | Implementation of findings (progress) |
|-------------------------------|---|---|--------------------------------------|---------------------------|--|
| | the Comprehensive Rural Development Programme (CRDP) in Dysseisdorp, Oudtshoorn | implementing the CRDP in Dysseisdorp and to make recommendations to strengthen the implementation of coordinated rural development. The evaluation covered the period from February 2010 to March 2013 | & MIP in progress | | (94%) and hence not sustainable. Coupled with the low income, the impact on households was inconsistent and short-lived. Thus the MIP is in progress geared towards refining the model to improve the effectiveness and efficiency and extending the intervention period to five years |
| Programme 8 | Evaluation of the Western Cape farm worker of the year competition. | An implementation and impact evaluation to assess the extent to which the Western Cape Farm Worker of the Year Competition has made a change to the socio-economic conditions of participating farm workers | Research Completed & MIP in progress | 2015 | The general evaluation outcome of the competition was overwhelmingly positive. The main stakeholders, i.e. the farm workers that participated, believe the competition is an important vehicle towards worker empowerment and personal growth. They are of the opinion that it improves their sense of self-worth and self-esteem. |

6 SUMMARY OF EVALUATIONS (AND RESEARCH) PROPOSED FOR 2016/17 TO 2018/19

6.1 Criteria and process used for selection for the Departmental Evaluation Plan

The Department assesses a number of criteria for selecting interventions (programmes) that need to be evaluated, as listed below:

- a) Interventions are of strategic nature linked to departmental priorities, provincial goals or the national outcomes;
- b) Interventions are innovative, enhances in-house efficiencies, could bring value for money and where learning is important;
- c) Interventions are from an area where there is a lot of public interest;
- d) Interventions have not been evaluated recently and the project is over 3 years in implementation;
- e) The programme or context is at a critical stage where decisions are to be taken for which an evaluation is needed, and so it is important that it is evaluated now;
- f) There is a need to develop baseline data or monitoring data that can be used including background and previous documented performance, current programme situation;
- g) There are budget considerations that require evaluation to guide decision making.

6.2 Summary of evaluations proposed for the Departmental Evaluation Plan

Table 5 summarises the proposed evaluations during the 2016/17 financial year covered by this Plan, and to be submitted on the National Evaluation Plan. Only one evaluation is proposed, and it has been considered relevant and important on application of the above criteria.

Table5: Summary of proposed evaluations (and research) for 2016/17

| | Intervention to be evaluated | Title of evaluation (include the type) | Proposed Methodology | NEP/ PEP/ DEP | Commissioned / internal | Years of implementation | | | Key motivation for this evaluation including scale (e.g. budget, beneficiaries) | Linkages to other evaluations |
|----------------------------|------------------------------|--|---|---------------|-------------------------|-------------------------|-----------|----------|---|---|
| | | | | | | 2016/ 17 | 2017 / 18 | 2018/ 19 | | |
| Dr Dirk Troskie: Dir: BP&S | Agricultural Scenarios | Diagnostic evaluation of the future of agriculture in the Cape Winelands District. | A diagnostic and design evaluation. The design tools which will be used to develop possible scenarios include: literature and data (agricultural; economic; climatic; socio-demographic) review; key stakeholder and expert informant interviews; scenario analysis and strategic forecasting | PEP | Commissioned | X | X | | <p>It will provide Western Cape local governments, with the necessary information to develop a sound 5 year strategic plan</p> <p>It will enhance WCDoA capacity towards the implementation of the NDP chapter 6 policy directive; The National outcomes 4,7,10 and provincial strategic goals 3 and 4 and our 7 Departmental strategic goals</p> | No records exist of a similar diagnostic evaluation conducted for the South African, Western Cape or Cape Winelands agricultural sectors. |

7 DETAILED CONCEPT FOR EVALUATION (AND RESEARCH) FOR 2016/17

7.1 Implementation/design evaluation of the agriculture scenarios evaluation programme

Project name: A diagnostic and design evaluation of the future of agriculture in the Cape Winelands (Western Cape Province) during the 2016/17 financial year

Submitted for: Provincial Evaluation Plan

Implementing directorate: Business Planning and Strategy

7.2 Background to the evaluation

In the Western Cape Province there are currently 6 653 commercial farming units (Agricultural Census, StatsSA 2007) and 9 844 smallholder farmers (WCDOA). On these farms there are 245 000 people working (Q3 2015) which is 86 000 (54%) more than the 159 000 people employed in quarter 3 of 2013 (Statistical release P0211, StatsSA, 2015). Conservatively speaking, another 79 000 people are employed in the Agri-processing Sector of the Province. This employment growth belies the commonly accepted notion that the Agricultural Sector is shedding jobs. Furthermore, if we accept that the average household in South Africa consist out of 4,5 persons, this implies that more than one million of the Western Cape's people are dependent on the Agricultural Sector.

In 2013 the Gross Value Added (GVA) of the Western Cape Agricultural Sector added R16,34 billion to the economy of the Province; which is 75% more than the R9,3 billion GVA in 2004 (Statistical release P0441, StatsSA 2014). Based on the Agricultural Census (StatsSA) and Abstract of Agricultural Statistics (DAFF) data, the value of agricultural production for South Africa as a country amounted to R43,6 billion in 2013/14; up by 170% from R16,1 billion in 2004/05.

The area of the Western Cape Province is approximately 12,9 million hectares of which close to 11,6 million hectares can be used for agricultural purposes. However, only about 18% of this area is arable and close to 7% is actually used for crop production. Although the production of grains uses the biggest part of this area (66%), grains are responsible for only 17% of the value of crop production in the Province. On the other side of the spectrum is fruit and grapes which only uses 25% of the area, but is responsible for two-thirds (66%) of the value of crop production (see Table 6).

Wheat is responsible for 66% of grain production, followed by barley (17%) canola (8%). Wine grapes are the biggest contributor to the value of fruit production (41%), followed by apples (24%), pears (9%) and table grapes (5,4%). Potatoes (45%),

onions (29%) and tomatoes (6,1%) dominates the vegetable sub-sector whilst rooibos is responsible for 94% of the value of tea and tobacco production in the Province.

Table 6: Cultivation in the Western Cape Province

| Sub-Sector | Area cultivated | Percentage (%) of: | |
|------------------|-----------------|--------------------|-------------|
| | | Area | Value |
| Grains | 511 270 | 66% | 17% |
| Fruit and grapes | 193 138 | 25% | 66% |
| Vegetables | 29 749 | 4% | 17% |
| Tea and tobacco | 36 170 | 5% | 0,2% |
| Total | 770 328 | 100% | 100% |

Source: WCDOA SIQ data (2013)

Given the importance of the Western Cape Agricultural Sector in the socio economy of the rural areas of the Province, a range of interventions are introduced to support the Sector. The logic and extent of these interventions are explained in more detail in the section on the outputs of the intervention.

Although the Agricultural Sector usually is classified as a productive sector of the economy, activities in this Sector have a clear impact on both the natural and social environments. For this reason, the Western Cape Province considers the Agricultural Sector as a primary vehicle to grow the economy and to create jobs; predominantly in rural areas. To this end, the Government of the Province has adopted a target to increase the agri processing value add by R7 billion by 2020, and to create an additional 100 000 jobs in this Sector.

A successful farming operation can only exist an environment, which can be controlled by farmers. This "agricultural space" can be defined as the area where the triple bottom line of sustainability intersects (see Figure 1). Outside this area are a number of environmental factors which have to be noted and will definitely have an impact on the Agricultural Sector, but which cannot be influenced.

In the agricultural space four controllable elements can be identified. The first is natural resources with specific reference to land, water and climate. The quality of land can be improved and, at the same time, land usage can be controlled. In other words, the diversion of high quality agricultural land into built-up areas can be prevented. Water-use efficiency can be improved and the climate can be controlled to a limited extent. The second area of control is the profit function which can normally be described as the sum of income minus the sum of expenditure. Expenditure is derived from the number of inputs used multiplied by their cost and income from the number of outputs times their price. However, in this instance one very important difference from the standard approach was introduced by using "utility" instead of price of output. In this way, the non-financial benefits of farming are included in the equation. The third element of control is human agency, which is

able to control the other elements. This control can be improved via human capital development. The fourth element of control is institutions which regulate the relationships between the various elements. It has long been recognised that institutional development can help to solve complex problems.

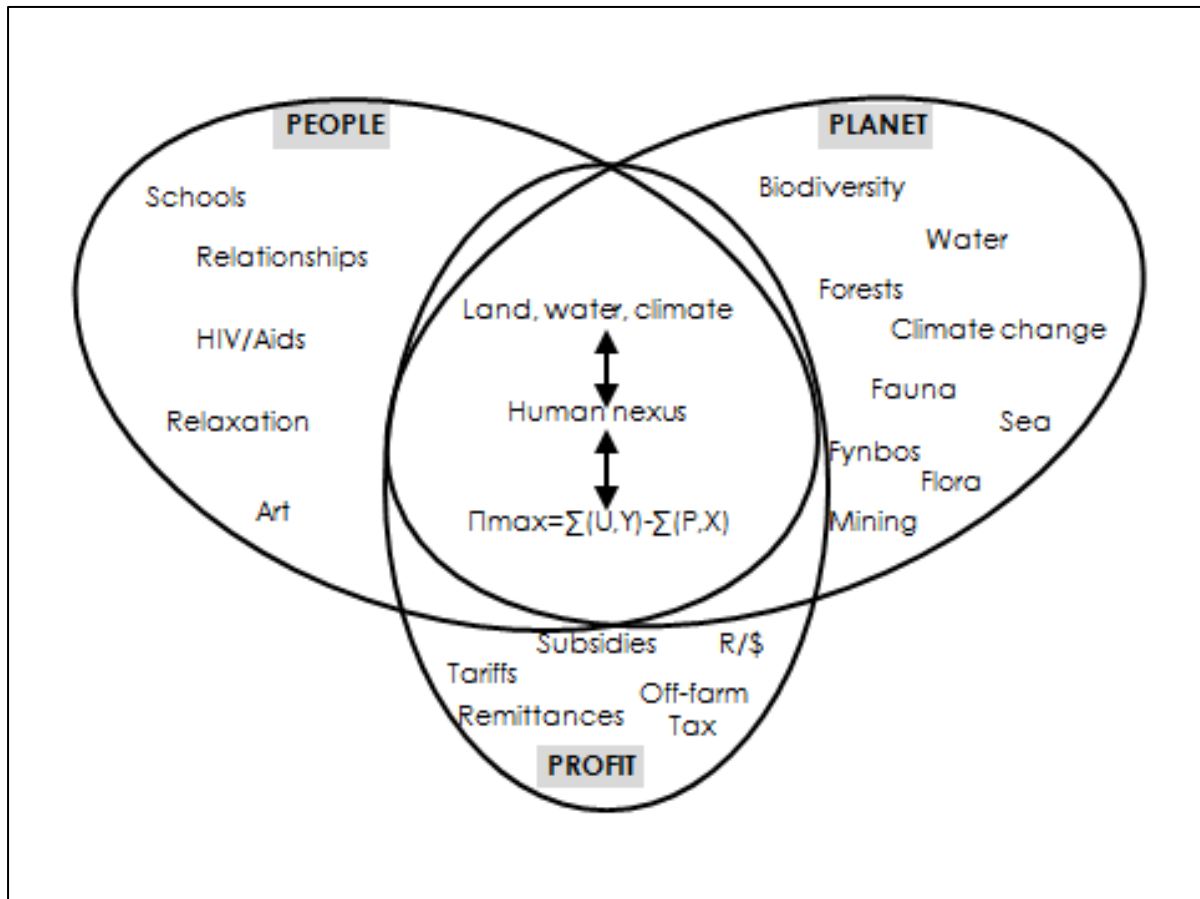


Figure 1: The Agricultural space in which the Department's interventions can make a difference.

Within this framework of controllable elements, each of the Departmental Strategic Goals (DSG) is targeted towards a specific controllable element. DSG 1 (maintain export position) intends to improve the utility value of the profit function. DSG 2 (land reform success) supports a specific group of clients to optimise the way in which inputs in profit function are combined. DSG 3 (increase production) targets the same part of the profit function, but addresses a wider group of clients with the focus on efficiency gains. The objective of DSG 4 (natural resources) is to maximise the land, water and climate nexus and DSG 5 (rural nodal development) focuses on the human element in specific nodes as well as the institutional frameworks in these areas. The objective of DSG 6 (agri processing) is to develop new forms of utility for agricultural products whilst DSG 7 (human capital development) also strengthens the human nexus. Towards this end, the Department is embarking on a number of specific actions and these actions are measured by a range of strategic, sector and provincial indicators.

7.3 Importance of the evaluation

The importance of this evaluation can be unpacked on different levels.

From a policy perspective:

- This evaluation will respond to the departmental policy objectives and priorities of Government as articulated in the NEPF and NEP; chapter 6 of the National Development Plan (NDP) that focusses specifically on the development of the rural economy of South Africa. The NDP has been translated into 14 NOs with associated targets to be achieved. Of these the following have particular relevance for the Agricultural Sector:
 - NO 4: Decent employment through inclusive growth.
 - NO 7: Vibrant, equitable, sustainable rural communities contributing towards food security for all.
 - NO 10: Protect and enhance our environmental assets and natural resources.
- In the Provincial sphere of government, the evaluation will respond to five PSGs. The first of these focusses on the creation of opportunities for growth and jobs whilst PSG 3 addresses wellness (including food security). PSG 4 intends to address the living environment which includes land and water resources and PSG 5 promotes good governance by promoting accountability through evaluations.
- It will provide WCDOA and local municipalities with evidence-based information to develop their 5-year strategic plans post the 2016 local Government elections to respond to these issues.
- It would ensure that WCDOA supports activities in local authorities that are strategically integrated into the overall planning cycle and resources are allocated to activities that can provide the greatest value-added to the department.
- It would assist the Department to actively monitor departmental commitments to municipalities so that results or information gathered is made available, on a timely basis, for evidence-based executive decision-making within our department and affected stakeholders.
- It will assist programme managers in the identification of gaps and issues to consider and guidance on reviewing the quality of services rendered.

7.4 Purpose of the evaluation

The purpose of this diagnostic evaluation is to generate a number of scenarios that could shape the future of agriculture in the Cape Winelands region. This study will provide evidence-based strategic information to WCDoA Management and local authorities to understand and respond accordingly to the identified trends, trend breaks and uncertainties influencing the future of the Agricultural Sector in the study area.

7.5 Type of evaluation:

This is a diagnostic and design evaluation.

7.6 Key questions to be addressed

As the key focus of this evaluation will be to understand the trends, trend breaks and uncertainties influencing the future of the Agricultural Sector of the Cape Winelands the following questions will be addressed:

- a) What are the main trends influencing the future of the Agricultural Sector?
- b) Which are the key uncertainties that will influence the future of farming in the Western Cape?
- c) How do these key uncertainties interact with each other?
- d) What is the nature of potential future scenarios of the Western Cape Agricultural Sector?
- e) What is the nature of the most appropriate strategic interventions which should be introduced?

7.7 Principal audience

The Principle audience of this evaluation will be:

- a) Head of Department and Senior management of the Department;
- b) local municipalities;
- c) And stakeholders comprising 6 653 commercial farmers; 9 844 smallholder farmers, 245 000 agri workers and 79 000 agri-processing workers involved in the Western Cape Agricultural Sector.

7.8 Change management strategy

The role and function of the Agricultural Sector in the economy has been well documented. Similarly, the processes to be followed to make sense out of complexity have been developed. Finally, the quantitative infrastructure provided by the Bureau for Food and Agricultural Policy (BFAP) can be used to develop the scenarios beyond mere thought experiments.

Apart from government institutions, many stakeholders would directly or indirectly benefit from this evaluation study. WCDoA would realise its goal to assist beneficiaries develop formal strategy to ensure that any negative effects of change will be minimized. The strategy would contain a plan for how to recognise when a change is needed, how to approve changes and how to implement the remedial measures.

7.9 Resource implications

The evaluation will cost R1 million, funded by WCDoA.

7.10 Timing and duration

The evaluation will commence on 1 April 2016. However, as the process will have to include participants from local governments and the names of these people will only be available after the local government elections, it is foreseen that the project will only be completed after May 2017.

8 KEY IMPLEMENTATION ISSUES

8.1 Capacity to undertake the evaluations

WCDDoA has learned through experience that a successful evaluation process is subjected to getting the fundamental pillars of support right, including the recruitment of DPME accredited external evaluators to conduct the study.

For this reason, a range of internal processes was put in place to boost capacity. These include assignment of responsibilities to senior Managers, development of a management structure to report and monitor progress on a monthly basis, commitment of funds and the appointment on (contract) of an external evaluation resource person to assist programme managers and officials responsible for evaluations. Although these arrangements are still intact, and will be availed to support the 2016/17 evaluation process, there is no absolute certainty that DPME listed Evaluators will be readily available to do the job. This has been a thorny area for WCDDoA evaluations as many programmes were affected in this way during the 2015/16 financial year evaluation programme roll out.

8.2 Institutional arrangements

A Departmental Evaluation Committee (DEC) was established in 2015 comprising of all relevant Programme managers in the department and the external resource person to support evaluations commissioned. This Committee is mandated to oversee and ensure synergy between the various Programmes conducting evaluations of the Department's activities and to interrogate the specifications for said studies to ensure optimal effect and further to evaluate, as per procurement prescripts all formal proposals received as a result of a formal tender advertised in the Government Tender Bulletin. This Committee is chaired by the Director for Business Planning and strategy. The same directorate houses the Departmental M&E activities.

In addition to the DEC, Steering Committees comprising external stakeholders relevant to the field of study will be established for each evaluation. These are people with sufficient, social networks, knowledge and experience on the unit of analysis to supervise the process. The programme manager of the evaluation will chair proceedings as the key owner of the evaluation, with the Business Planning

and Strategy Directorate providing the secretariat. This study will be subjected to this process as well.

There is an agreement between WCDoA HOD and DG DPME to use the DPME panel of evaluators under the auspice of the National Treasury Regulation 16A6.6. that allows any department to partake in the tender processes of any other department if the accounting officer of the former request permission from the accounting officer of the latter. By following this route, the WCDOA does "piggy back" on DPME's tender and it removes the need for the Department (or the Province) to either compile its own panel or go out on an open tender.

8.3 Funding of the evaluation in the Plan

As indicated in the earlier section, the budget estimate for this evaluation is 1 million. Refer to the Table 7 below.

Table 7: Agriculture Scenario budget

| Name of intervention | Title of evaluation | Approx. budget (R) | Source of funds | | |
|------------------------|---|--------------------|-----------------|----------------------|---------------------|
| | | | Dept. | Dept. DPME/ Province | Other (specify who) |
| Agricultural Scenarios | Diagnostic and design evaluation of the future of agriculture in the Cape Winelands District. | 1 000 000 | 1 000 000 | | |

8.4 Follow-up to the evaluations

This evaluation will be registered as complete when a Management Improvement Plan (MIP) has been developed and signed by our accounting officer. The process of signing off involves a number of steps such as, getting an official management response to the recommendations before an improvement plan is drawn up, developing the Management Improvement plan and have it officially signed off by our HOD (the accounting officer) for implementation. Monthly progress reports (in the form of a template) will be submitted to Management.

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