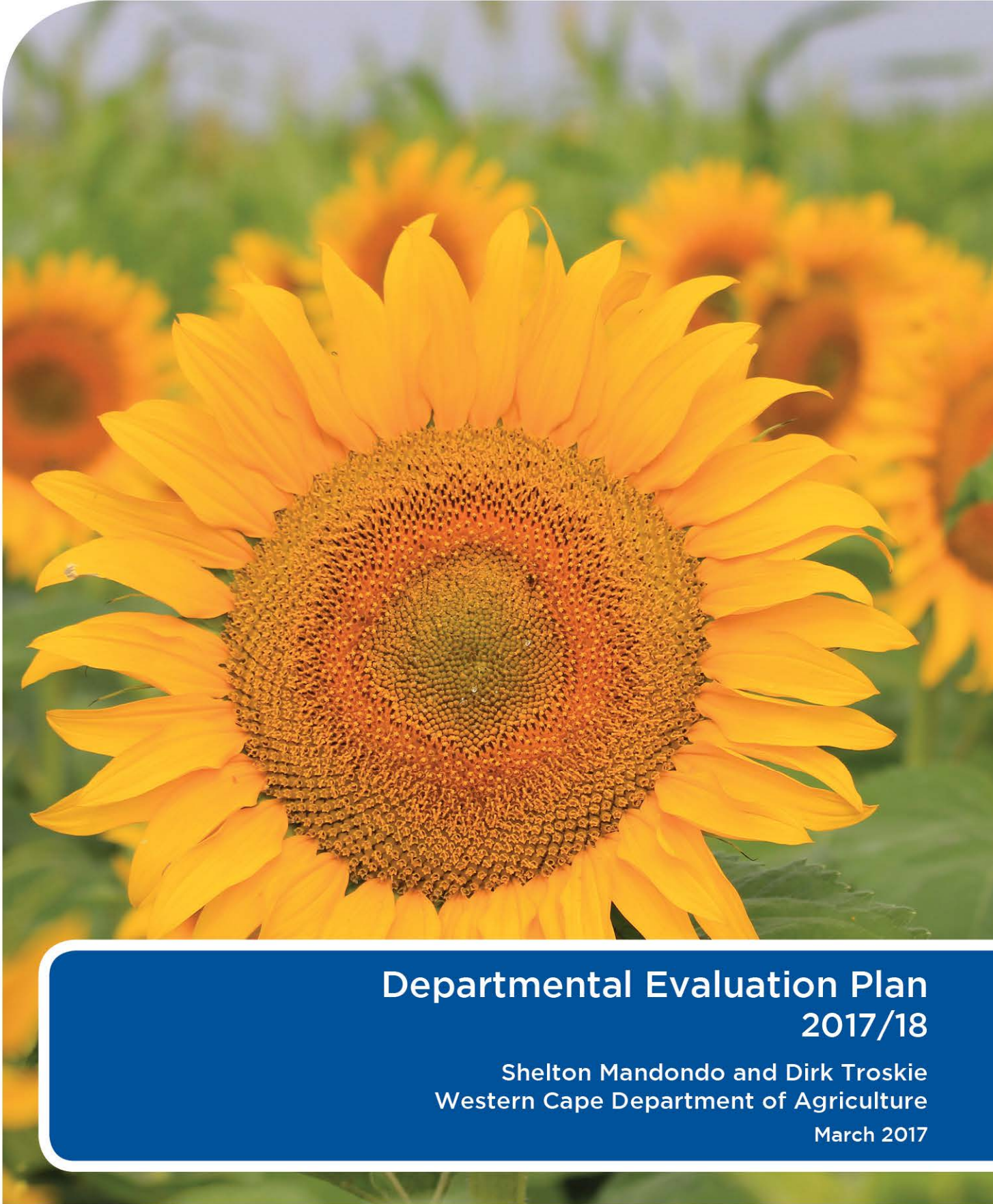




Western Cape
Government

Agriculture

BETTER TOGETHER.



Departmental Evaluation Plan 2017/18

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Western Cape Department of Agriculture

March 2017

FOREWORD BY THE ACCOUNTING OFFICER


Evaluations are guiding processes to enable the Department to ensure improved, efficient and appropriate services to the range of clients within the Province. The DPME framework assists to execute evaluations properly, and with their support, also better. Better together, by sharing knowledge and information.

But, evaluations, or the evaluation process as designed in the Department, are much more than just an evaluation report. It is designed to allow integration and support to senior managers and project leaders and ensure that the results are valuable and usable to make management decisions. Ultimately it is about us, inviting outsiders into the Department, to guide and steer the respective programmes and initiatives (whether vested in legislation, strategies or the departmental mandate) to deliver value to our clients.

The team at the Department has embraced evaluations as a methodology to showcase success but also highlight weaknesses and challenges to improve. The invitations to 'strangers' to come and see (allow external scrutiny), takes confidence and maturity, to make it work. Well done to the team, and thank you for showing your ability to take criticisms and then to fix it for service delivery.

Evaluations should not be used punitive measures but rather used to celebrate the maturity of a management team, the commitment of government officials and the participation of our clients (honest feedback) in an evolving process to add value to our shareholders for a better life.

This plan details our quest to improve through measurement and external scrutiny for a better agricultural sector in the Province. Better together not only in implementation but in critical assessments as well.



MS JS ISAACS
HEAD OF DEPARTMENT

9/3/13
DATE

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	9
4.1 Resources & structure of the department to support evaluation	9
4.2 Departmental evaluation cycle	10
5 Departmental evaluations (and research) undertaken in the last 3 years	13
6 Summary of evaluations (and research) proposed for 2017/18	21
6.1 Criteria and process used for selection for the Departmental Evaluation Plan	21
6.2 Summary of evaluations proposed for the Departmental Evaluation Plan	21
7 Detailed concepts for evaluations (and research) for 2017/18	24
7.1 Impact and implementation evaluation of the LandCare programme (Western Cape Province)	24
7.2 The future of the Western Cape Agricultural Sector in the context of the 4 th Industrial Revolution	30
8 Key implementation issues	36
8.1 Capacity to undertake the evaluations	36
8.2 Institutional arrangements	36
8.3 Funding of the evaluations in the Plan	37
8.4 Follow-up to the evaluations	38
REFERENCES	39

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
EPWP	The Expanded Public Works Programme
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

In South Africa, the Western Cape Department of Agriculture (WCDoA) remains on the forefront of state institutions that have embraced evaluations as a useful adjuvant to existing government practice. Since 2015, the Department has institutionalised evaluations 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 its annual performance plan. By institutionalising evaluations, the Department has ensured that each programme gets an opportunity to have its activities objectively reviewed and in doing so, any decision-making process that follows 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.

It is the purpose of this document to present the departmental evaluations planned for 2017/18 financial year and registered on the Provincial Evaluation Plan (PEP). These include an external impact evaluation of the LandCare sub-programme and a diagnostic evaluation of the Fourth Industrial Revolution, also known as Technology 4.0. The LandCare sub-programme is implemented under the ambit of the Sustainable Resource Management Programme of the WCDoA. It was designed to promote sustainable use and management of natural agricultural resources, guided by nine objectives explained in the latter chapters of this document. This programme is currently funded by WCDoA through the equitable share funds as well as resources contributed from the Department of Agriculture Forestry and Fisheries (DAFF) and the Expanded Public Works Programme (EPWP). For this reason, the impact and effectiveness of this programme in addressing the set objectives should be evaluated to justify continued funding, given the government budgetary constraints and the need to implement cost-saving measures.

The Fourth Industrial Revolution evaluation is formulated as having diagnostic, design and impact evaluation components. It seeks to investigate the trends underpinning the fundamental changes expected to disrupt economic, social and political systems at various levels of society, to evaluate the impact of the impending changes, and to provide a scientific foundation for a response plan to ameliorate the negative and maximise the positive impacts. Empirical observations shows that, for example, technological development is not just rapidly changing the world, it has dramatically reshaped the world faster than individual humans and institutions are able to respond. Many theories have been presented to explain some of these phenomena; which include rising inequality, the striking emergence of joblessness and displaced 'digital refugees'. However, not much effort has been made to tie these observations into a broader narrative of what could happen to a specific region and what might usefully be done about it. Thus, the impact that this fourth Industrial Revolution will have or the direction it will take in the Agricultural space must be fully unpacked and the outcomes used to reposition the Agricultural Sector.

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.

**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 improve 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) have 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, and to increase this by 10% above baseline by 2019.
- 7 Facilitate an increase of 20% in relevant skills development at different levels in the Department and 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 improve service delivery. The use of external evaluators and external support for example, is meant to address the need for impartiality and objectivity without diluting the responsibilities of Programme managers, who are required to take a leading role in developing terms of reference for evaluations, and in managing evaluation processes; although 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 to be adopted 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:

- To improve policy or programme performance (evaluation for learning), and provide feedback to managers to be used in service quality improvement;
- To improve accountability in respect of where public spending is going and the difference it is making;
- To improve decision-making; e.g. on the basis of understanding of what is working or not-working as intended;

To increase knowledge about what works and what does not with regard to public policy, plans, programmes, and projects.

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 expected to apply 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 whether the programme implementation is supporting its own theory of change and plan), and whether it is likely to reach the intended outcomes;
- Impact evaluation – focusing on what outcomes or longer term impacts can be attributed specifically to the intervention. This is often difficult to do, as it is necessary to separate changes happening due to other factors, and changes that may be attributed to the intervention; i.e. which would not have happened in the absence of the intervention.
- Economic evaluation – looking at cost-benefits or cost-effectiveness of the programme.

Note that 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 2017/18 financial year and which are linked with the budget process.

Before discussing the 2017/18 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. The majority were successfully completed and awaiting the ratification of the MIP. Few outstanding evaluations are scheduled for completion in 2016. Table 1 below presents the status of some of the evaluations not yet published 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/ 17/ and planned for 2018/19.

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

PERIOD	EVALUATION	TYPE	IMPLEMENTATION STATUS
	Rural Development Programme model design	& Impact	
	Dairy research	Diagnostic evaluation	MIP phase
	Databases	Diagnostic, design	Completed
	Water use efficiency	Implementation & Impact	In progress
	Meat safety	Impact	In progress
	Ten years of training	Impact evaluation	MIP phase
2016/17	Agricultural scenarios – Future of agriculture in the Cape Winelands district (WC Province)	Diagnostic and design evaluation	In progress
2017/18	LandCare evaluation	Design , Impact and economic evaluation	Concept document and TOR completed
2017/18	The 4 th Industrial revolution	Diagnostic, Design and Impact evaluation	Concept document and TOR completed
2018/19	Success rate of land reform projects supported by the Department	Implementation & Impact	Concept note Development phase
2018/19	Evaluation of Youth Development initiatives of the WC DOA	Design Implementation & Impact	Concept note Development 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 a number of evaluations were 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, two evaluations will be commissioned for 2017/18 financial year. A concept document has been developed for an external impact evaluation of LandCare programme and the Fourth Industrial Revolution. Detailed information is provided in Section 7.

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 two evaluation studies in the 2017/18 financial year. These evaluations are designed to influence Government planning and budgeting from different angles. From a national strategic perspective, the agricultural sector will be confronted by a range of challenges linked to the fourth industrial revolution. Within the department, the implementation of the LandCare programme will have to pass the litmus test for relevance and value for money.

Globally the term "fourth industrial revolution" has been applied to significant technological developments and innovation in all sectors of the economy. It is epitomised by amongst others: the ability of machines to communicate and offer assistance and support to human endeavours by aggregating and visualising information comprehensibly for making informed decisions and solving urgent problems on short notice; and strong customisation of products under the conditions of highly flexible mass- production, self-optimisation, self-configuration and cluster "Intelligent Technical Systems" to mention a few. The Western Cape agricultural

sector is not insulated against these changes. It is a question of when and how these opportunities and accompanying challenges will impact on our Agricultural Sector, which particular elements must be embraced and at what cost.

An external impact evaluation of the LandCare Programme is intended to be of value in guiding it to focus on areas where success is most likely, and improving those projects which have remediable flaws. It will also provide guidance on how the programme should develop in terms of focus and resource commitment. In addition the evaluation will be of interest to DAFF (funding support) and EPWP (programme partner); and will provide an external perspective on the value of investment in the programme and justification or not for continued support in particular areas. The outcome of these two studies will enable the Department to reposition itself to respond to the changes and render relevant services to its stakeholders.

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;

NO 12: To establish an efficient and development-orientated public service (NPC, 2012) through a process of rigorous and ongoing evaluation and at provincial level.

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;

PSG5: The need to strengthen good governance in the Province by *inter alia*: conducting evaluations of the services rendered to help improvperformance and future management of outputs, outcomes and impact.

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 has been included as a province specific indicator in the WCDOA annual performance plan (see Section 1.5).

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) Significant and visible support 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 evaluation processes 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) Management accountability for evaluation processes:
Programme Managers have in turn cascaded the conduct and ownership of evaluations down to the performance agreements of the relevant personnel. In this way, progress in implementing evaluation processes and using evaluation findings became 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, providing advice to resolve various problems faced in the course of evaluation processes; for instance in gaining access to respondents. This has helped to improve the quality of evaluations and has also reduced the risks of using external evaluators who are not always familiar with the environments they are required to work in. Closely

tracking evaluation stages and processes in a systematic way has also 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 compiles 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 the 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 and support the two evaluations to be done in 2017/18 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 : The 4th Industrial Revolution and LandCare Evaluations

Action	Responsibility	Timeline
Call for proposals	Business Planning and Strategy Directorate (BPS)	March 2016
Writing workshop for concept notes	BPS Programme manager	March 2016
Concept notes received	BPS Programme manager	March 2016
Concept notes prioritised/selected	BPS Programme manager	March 2016
Meet with Management to agree	BPS Programme manager	May 2016
Departmental evaluation plan drafted	BPS Programme Manager	Mid-June 2016
DEP submitted to EXCO for approval	BPS Programme manager	End June 2016
Evaluation included in budgets	BPS Programme manager	June 2016
DEP signed off by HOD	HOD	End July 2016
Possibility of scoping workshop to discuss focus of evaluation	BPS Programme manager	August 2016
Capacity building workshop	BPS Programme manager	September 2016

Table 3: Phase 2: Undertaking the evaluations: The 4th Industrial Revolution and LandCare programme

	Action	Responsibility	Timeline
	Terms of Reference completed	Sustainable Resource Management (SRM), Dept Eval Com* (DEC) & BPS Programme managers	March - April 2017
External SPs	Call for proposals from service providers out	SRM & BPS	March - April 2017

	Action	Responsibility	Timeline
	Bidders briefing	Dir: BPS, SRM &DEC	March - April 2017
	Bids received	Dir: BPS, SRM &DEC	March - April 2017
	Shortlisting	Dir: BPS, SRM &DEC	March - April 2017
	Bidders presentation	Dir: BPS, SRM &DEC	March - April 2017
	Service provider selected	Dir: BPS, SRM &DEC	March - April 2017
	Service provider appointed	HOD	April – May 2017
	Inception report submitted (for an internal evaluation this will still be needed but may be different)	Evaluator; DEC, SRM and BPS Programme managers	April – May 2017
	Literature review	An overview of the relevant literature	July - August 2017
	Draft report	Evaluator	August – September 2017
	Stakeholder validation workshop	Dir: BPS, SRM &DEC	September – October 2017
	Final report	Evaluator	October 2017
	Final report approved	Dir: BPS, SRM &DEC	October 2017
	Programme Improvement Plan	HOD & Dir: BPS, SRM &DEC r	October – March 2018

Dept. Eval. Com.* comprises representatives from the Supply Chain Management, 8 Programme Managers and the Departmental Evaluation Resource person.

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

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.	Completed	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.	Study 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.

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 future of agriculture in the Cape Winelands District.	Diagnostic evaluation of the future of agriculture in the Cape Winelands District.	In progress	2017	
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 2013. This support took place through the Comprehensive Agricultural Support Programme (CASP) and/or Ilima-Letsema grants.	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 record keeping', 'Cooperative development support', and 'Facilitation of access to finance' are part of the programme improvement plan.

Departmental programme	Title (include type of evaluation in the title)	Focus (purpose) of evaluation/ research	Status	Date of Completion	Implementation of findings (progress)
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	Study Completed & MIP in progress	2015	To address the need for business formalisation and viability before funding, the Agric economists are now attending Commodity project Allocation Committees and Dept project Allocations Committee to due a do diligence exercise on proposed projects. In addition CASIDRA UTA is included to plan and develop bankable business plans.
Programme 5	Research needs of Dairy Producers in the Western Cape	This is a diagnostic and design evaluation with the objective of establishing research needs among dairy farmers in the Western Cape	Study Completed	2016	As part of the MIP, WCDoA will Investigate possibility of closer working relationship between Elsenburg Dairy Unit and MPO to encourage collaboration in identifying research needs and planning of future research projects. A list of action plans have been presented.
Programme 5	Evaluation of the impact of the long-term crop rotation trials at Langgewens	An Implementation and impact evaluation to provide feedback on the impact of the long-term crop rotation trials on the sustainability of farming	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 seen through positive financial

Departmental programme	Title (include type of evaluation in the title)	Focus (purpose) of evaluation/ research	Status	Date of Completion	Implementation of findings (progress)
		systems in the grain producing areas of the Swartland. The rotational crop trials started in 1996 and has been implemented continuously since then.			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 now covers a longer period and closer linkages with extension services.
Programme 6	Assessment of the Western Cape Agribusiness Investment Unit (AIU)	A design, implementation and impact evaluation of the AIU based on the satisfaction levels of existing investors supported by the AIU.	Study 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 an investor draw card. Some of the most

Departmental programme	Title (include type of evaluation in the title)	Focus (purpose) of evaluation/ research	Status	Date of Completion	Implementation of findings (progress)
					<p>important deterrents voiced by investors included:</p> <ul style="list-style-type: none"> a) Concerns about shortages in skilled labour; b) Red tape and the lengthy application process for incentives. <p>Under Project Khulisa , a RED TAPE reduction Unit and a Skills Development game changer were established to address these concerns.</p>
Programme 6	Evaluation of the Availability, Extent and Utilisation of Agricultural Economic Databases	Assess the extent to which the database services provided by the sub-programme 'Macro-economic Support Services' are serving the purposes they aim to serve and to understand how the services would best be optimised in the interest of greater effectiveness in achieving intended outcomes and impacts	Completed	2016	<p>A programme improvement plan has been developed to address the following gaps:</p> <ul style="list-style-type: none"> a) Development of systems where all relevant databases are made accessible to clients on the Department Website with notices of new additions; b) Investment in human resource capacity; c) Administration of medium term evaluations of systems and databases to ensure relevance; d) Revisiting Theory of Change through continuous monitoring of clients and target groups and adaptation to their needs.

Departmental programme	Title (include type of evaluation in the title)	Focus (purpose) of evaluation/ research	Status	Date of Completion	Implementation of findings (progress)
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; 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 are enrolled who have a passion for agriculture as a career of choice.
Programme 7	An evaluation of the Model of the Comprehensive Rural Development Programme (CRDP)	An evaluation of the institutional design, impact and implementation of the Rural Development Model (RDM) in three rural development nodes in the Western Cape and recommendations for improvements.	Study Completed	2016	The Development of a Management Improvement plan to implement the recommendations is in progress.
Programme 8	Implementation evaluation of	To assess the successes and challenges of	Study 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	Completed	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. As part of the MIP the selection criteria and adjudication process has been standardised through out the participating regions to level the playing field.
Programme 8	CRDP model Design Evaluation	An assessment of the extent to which the implementation of the	Study Completed & MIP in	2016	The model has a number of strengths but confronts a variety of challenges in coordinating the activities of key

Departmental programme	Title (include type of evaluation in the title)	Focus (purpose) of evaluation/ research	Status	Date of Completion	Implementation of findings (progress)
		Rural Development Model has a) influenced rural development in three selected rural development nodes, and b) supported the implementation of the CRDP.	progress		government departments. The RD model should be re-designed using a 'limited choice' approach, with limited schedule of pre-determined projects (for example training, infrastructure and economic development project), and guaranteed ring-fenced funding.

6 SUMMARY OF EVALUATIONS (AND RESEARCH) PROPOSED FOR 2017 TO 2018

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 2017/18 financial year covered by this Plan and submitted on the National Evaluation Plan. Two evaluations were proposed, and they have been considered relevant and important on application of the above criteria.

Table5: Summary of proposed evaluations (and research) for 2017/18

	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
						2017	2018	2019		
Mr Francis Steyn – (SRM)	LandCare sub-programme	Impact and design evaluation of the WCDOA LandCare sub-programme	Assessment of the design of the LandCare model with a view to documenting its optimal theory of change; i.e. how the sub-programme contributes to successful outcomes.	y	y	y	y	y	The evaluation is intended to guide the LandCare programme to focus on areas where success is most likely, and improving those projects which have remediable flaws.; provide focus and resource commitment by DAFF (funding support) and EPWP (programme partner).	yes
Dr Dirk Troskie (BPS)	The Fourth industrial revolution	The Diagnostic and design evaluation of the future of	Identify the 5 most important new technologies which will confront the		y	y	y	y	This evaluation is intended to investigate the trends underpinning the fundamental change expected to disrupt economic,	yes

	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
						2017	2018	2019		
		the Western Cape Agricultural Sector in the context of the 4th Industrial Revolution	Western Cape Agricultural Sector over the next decade						social and political systems at various levels of society, evaluate the impact of the change and to provide a scientific foundation for a response plan to ameliorate the negative and maximise the positive impacts.	

7 DETAILED CONCEPT FOR EVALUATIONS (AND RESEARCH) FOR 2017/18

7.1 Concept Note 1: Impact and Implementation Evaluation of the LandCare Programme (Western Cape Province)

Part A: Key contact details

Name of proposed evaluation	Impact and design evaluation of the WC DOA LandCare sub-programme	Year proposed	2017-18
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Institution proposing evaluation	Department of Agriculture	Initial Contact person (name /designation)	FJ Steyn
Alternative contact	Andre Roux	Email	franciss@elsenburg.com
Email	andrer@elsenburg.com	Telephone	021-8085090
Telephone	0218085010	Cell	0829072813

Department that is custodian (and will implement the improvement plan arising from the evaluation)	<p>Custodian department: Western Cape Department of Agriculture</p> <p>Department of Agriculture, Forestry and Fisheries (DAFF)</p>
Other key departments/ agencies involved in the intervention	<p>Casidra, as well as other Departments that are partners in the intervention, Department of Environmental Affairs, Department of Environmental Affairs and Development Planning and the Department of Water and Sanitation (DWS as well as the following programmes: The Expanded Public Works Programme, Working for Water, Working for Wetlands, Conservation at Work, CapeNature, Municipalities, Living lands and Catchment management agencies.</p> <p>LandCare South Africa is guided by international conventions to which the South African Government is party and signatory. These include the Convention on Wetlands of International Importance (RAMSAR), the Convention to Combat Desertification, and the Convention on Biological Diversity and the Framework Convention on Climate</p>

	Change.
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Part B: Background to the intervention being focused on

Specific unit of analysis of the evaluation (should be a policy, plan, programme or project)	LandCare programme The unit for analysis is the entire LandCare sub - programme over the period 2012-16 and will cover the full package of services offered by the programme. This involves many types of interventions which will require a range of indicators as measures of achievement.
Give some background to the intervention	
Summary description	<p>The LandCare sub-programme is part of the Sustainable Resource Management Programme of the Western Cape Department of Agriculture (WC DOA).</p> <p>LandCare is a national movement aimed at restoring sustainability to land and water management in both rural and urban areas. It encompasses integrated sustainable natural resource management where the primary causes of natural resource decline are recognised and addressed. LandCare is community based and community led and seeks to achieve sustainable livelihoods through capacity building and related strategies. LandCare policies will be developed and achieved through the formation of partnerships with a wide range of groups from within and outside Government through a process that blends together appropriate upper level policy processes with bottom-up feedback mechanisms.</p> <p>Interventions</p> <ul style="list-style-type: none"> a) Area wide planning b) Implementation of LandCare projects, Junior LandCare, Awareness, Rehabilitation, Job creation and Conservation Agriculture. c) Conservation of Agricultural resources: Farm planning and disaster management works.
Focus of the intervention	The LandCare team works to promote sustainable use and management of natural agricultural resources.
Objective or outcomes of the intervention (specify which)	LandCare is a national movement aimed at restoring sustainability to land and water management in both rural and urban areas. It encompasses integrated sustainable natural resource management where the primary causes of natural resource decline are recognised and addressed
Outputs of the intervention (e.g.	The rationale behind the LandCare intervention is discussed in Chapter 5 of the National Development Plan (NDP). It is

from logframe)	<p>argued that South Africa has a rich endowment of natural resources and mineral deposits, which, if responsibly used, can fund the transition to a low-carbon future and a more diverse and inclusive economy. However, it implies that development challenges must be addressed in a manner that ensures environmental sustainability and builds resilience. To this end, investment in skills, technology and institutional capacity is critical.</p> <p>The NDP is translated into the fourteen National Outcomes (NO), each with clear interventions and targets. Chapter 5 of the NDP largely lands in NO7, 10 and sub-outcome 1 of NO10 envisages that “Ecosystems are sustained and natural resources are used efficiently”. The WC DOA measures achievement of these targets at the hand of the following APP Indicators:</p> <ul style="list-style-type: none"> a) Number of hectares protected/rehabilitated to improve agricultural production. b) Number of green jobs created expressed as Full Time equivalents. c) Number of awareness campaigns conducted on LandCare d) Number of capacity building exercises conducted within approved LandCare projects. e) Number of Area wide planning f) Number of youth attending Junior LandCare initiatives g) Number of farm plans updated for sustainable farming purposes
Duration and timing of the intervention (when started, when ends)	<p>The LandCare sub-programme has been implemented since 1999 and it is supported by WC DOA equitable share funds and resources contributed by the ‘Department of Agriculture, Forestry and Fisheries, as well as the National Extended Public Works Programme. No end date has been envisaged.</p>

Part C: Motivating for the evaluation of this intervention being considered in the National Provincial Evaluation Plan (does not have to score high on all of these)

How is this linked to the 5 PSGs and 14 National Outcomes?

The link between the LandCare programme and NO10 has been discussed in great detail above. In Addition to NO10, the following two NOs are also supported:
 NO 4: Decent employment through inclusive economic growth
 NO 7: Comprehensive rural development and land reform

The LandCare sub-programme links well with the Provincial Strategic Goals listed below, but more so with the integrated approach to PSG 5 in that the projects are enabling good integrated governance are leaders and innovative in nature steering this PSG (in most cases) in the Natural Environment

PSG 1: Create opportunities for growth and jobs
 PSG 2: Improve education outcomes and opportunities for youth development
 PSG 4: Enable a resilient, sustainable, quality and inclusive living environment
 PSG 5: Embed good governance and integrated service delivery through partnerships and spatial alignment.

Innovative

The efficiency of implementing projects with partners and especially the land owner has highlighted this sub programme as using an innovative and effective implementing methodology which has a greater sustainability of the work done due to buy-in from the partners.

How large is it?

<p>Estimated budget for intervention for current financial year (total also if known)</p>	<p>The LandCare intervention is funded from various sources. During the current financial year R10,65 million was spent on the intervention and it comprised out of the following contributions.</p> <p>LandCare Grant R 4 000 000 CASP R 2 000 000 EPWP R2 000 000 DESP R 2 000 000 Green Economy R 650 000</p>
<p>Nos of people directly affected or enrolled (e.g. service users, beneficiaries...)</p>	<p>300 beneficiaries received jobs per year 7 000 school youth were exposed to puppet shows 500 farmers were supported to implement Conservation Agriculture per year</p>

Is this an area of substantial public interest? Is so how is this shown?

The SmartAgri plan, the comprehensive climate change response plan sets out a roadmap to combat the impact of extreme weather events on the province's agriculture sector. This plan puts forward the following six priorities to be driven by government and industry as solutions and the first 3 of these are directly associated with LandCare and therefore are of substantial public interest:

Priority #1: Conservation agriculture

This approach includes minimum tillage, year-round soil cover and crop rotation. Stakeholders in West Coast, Overberg and Eden have prioritised conservation agriculture as a response to climate change.

Priority #2: Restoring degraded landscapes

Factors such as overgrazing of rangelands and the spread of alien plants have led to degradation of indigenous fynbos, succulent Karoo and grassland areas. The benefits of this action include improved soil conservation. The LandCare sub-

programme implements extensive disaster management works to restore degraded landscapes. There are significant employment opportunities under this priority project.

Priority #3: Improved catchment management for water security and job creation

One strategy here is the removal of invasive alien plants, which reduces the flow of water and impacts water purification. It is recommended that at least one of these projects be located in the eastern part of the Western Cape.

In conjunction with these priorities the education of children in SmartAgri is a flagship of LandCare reaching a few thousand scholars in a year.

Is the intervention at a critical stage where decisions need to be taken, and when?

The LandCare intervention was introduced in 1999 and has continued ever since. It is also clear that it has been funded from various sources and it is a common fact that the South African fiscus is under pressure. It follows that it is of the utmost importance to independently evaluate its impact on society as well as to design any changes to improve its efficacy in the future.

Part D: Details on the evaluation proposed

<p>Key focus of the evaluation</p>	<p>It is important to have the programme externally evaluated at this stage. It is necessary to conduct this evaluation to justify continued funding of the sub-programme, which currently relies on WC DOA equitable share funds and resources contributed from DAFF and the Expanded Public Works Programme (EPWP). The evaluation will determine the relevance and value of the programme, which is important to understand given Government cost-cutting pressures.</p> <p>The evaluation will be useful in understanding the overall outcomes and impacts of the programme and it will also be useful in identifying areas of greater and lesser efficiency in translating programme efforts into intended outcomes.</p>
<p>Type of evaluation</p>	<p>The evaluation will have elements of impact, economic and design evaluation.</p> <p>a) <i>Impact evaluation</i> This will require identification, collation and quantification of the changes brought about by the sub-programme, including both intended and unintended products of the sub-programme.</p> <p>b) <i>Economic evaluation</i> This will require analysis of the cost of achieving the various outcomes of the programme, and analysis of the value-for-money (VFM) associated with the various implementation</p>

	<p>methods and outcomes achieved.</p> <p>c) <i>Design evaluation:</i> This will involve Identification of those elements of the sub-programme which are most beneficial and those which produce less effective outcomes. This will focus on identifying the key programmatic elements associated with positive changes, as well as the unmet programmatic needs, which are associated with lack of success in achieving intended outcomes or threatened by risks of unsustainability.</p>
Likely duration (months)	4 months
How recently was this intervention evaluated – if not for a long time then higher priority	There has been an internal evaluation process every year, which aimed at describing the outputs of the programme and changes attributable to LandCare programmatic efforts. However to date there has not been any external evaluation of the programme.
Do you have an approximate budget for the evaluation?	R 500 000
What potential budget for evaluation is available from the Dept., or donors	R 500 000
What are the main evaluative questions you will be asking (maximum 5)	
<p>Does the LandCare programme make a difference to the economic welfare of beneficiaries?</p> <p>Did the skills and training acquired through the programme enable people to access 'better' jobs or permanent employment?</p> <p>How did the programme change people's and community perceptions about caring for the environment?</p> <p>What are the socio-economic- environmental benefits of the work done through LandCare when taking Climate Change Strategies and other National and International agreements into account?</p> <p>Is the LandCare methodology of implementing projects (in partnership) of community based natural resource management effective when compared to other similar programmes?</p>	
What monitoring data or existing evidence can be used including on background and previous documented performance, current programme situation. Is this of good quality?	Data is available from the last few years relating to the indicator outputs mentioned. The last two years this information has been audited and found in good shape, assuring the quality of the information. There is also

	extensive information collected but not audited as well as case studies and a yearly internal evaluation. Finally, the details of current and former EPWP and farmer participants are available.
Is there a strong theory of change and logical framework	The WC DOA needs to assess the design of the LandCare model with a view to documenting its optimal theory of change; i.e. how the sub-programme contributes to successful outcomes. The evaluation should also identify those elements and approaches that do not substantively add value and which may detract from the long-term sustainability and support for the programme. There is a wealth of case study and project data, as well as a range of different types of participants in the programme and different contexts of LandCare. This allows strong opportunities to learn 'what works' and what might usefully be left behind in the evolution of the programme.

7.2. Concept Note 2: The future of the Western Cape Agricultural Sector in the context of the 4th Industrial Revolution.

Part A: Key contact details

Name of proposed evaluation	The future of the Western Cape Agricultural Sector in the context of the 4 th Industrial Revolution.	Year proposed	2017/18
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Institution proposing evaluation	Western Cape Department of Agriculture	Initial Contact person (name /designation)	Dr DP Troskie: Director: Business Planning and Strategy.
Alternative contact	Mr S Mandondo	Email	DirkT@elsenburg.com
Email	SheltonM@elsenburg.com	Telephone	(021) 808 5190
Telephone	(021) 808 7738		

Department that is	Custodian department: Western Cape Department of
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custodian (and will implement the improvement plan arising from the evaluation)	Agriculture Supporting department: Economic Development and Tourism.
Other key departments/ agencies involved in the intervention	The Department of Economic Development and Tourism (DEDAT) The Ministry of economic Opportunities The Western Cape Tourism, Trade & Investment Promotion Agency (Wesgro) Western Cape Department of the Premier -: Provincial-wide Monitoring and Evaluation

Part B: Background to the intervention being focused on

Specific unit of analysis of the evaluation (should be a policy, plan, programme or project)	This evaluation will focus on the whole Western Cape Agricultural and Agri processing Sector.
Give some background to the intervention	
Summary description	<p>82% of the total area of the Western Cape Province is being used for farmland, of which 19% (2,5 million hectares) is arable (Abstract of Agricultural Statistics, DAFF, 2016). This land is being used by 6 653 commercial (Agricultural Census, StatsSA, 2007) and 9 844 smallholder (Smallholder Survey, WCDOA, 2010) farmers.</p> <p>The Gross value added by Primary Agriculture amounted to R18,5 billion in 2014 (GDP Data 4th Quarter, StatsSA, 2016) and Agri processing added another 21,9 billion (Calculations by Partridge, WCDOA, 2016) which means that Agriculture and Agri processing are the source of more than 7,8% of the value added in the Western Cape economy. At the same time agriculture and agri processing is providing employment to 410 000 people; 17,7% of all people employed in the Western Cape (Calculated from 3rd Quarter QLFS, StatsSA, 2016).</p> <p>It is important to note that labour intensive, export focussed, irrigated perennial crops such as apples (17,4%), wine grapes (16,9%), table grapes (8,3%), pears (6,4%) and others are responsible for 68% of the total income generated from farming (SIQ Data, WCDOA, 2013). Due to the export focus, these industries are the most vulnerable to disruption. Without going into too much detail, the "treadmill theory", developed by Cochrane in the 1930's, has provided convincing proof that farmers must remain at the forefront of new technology for them to remain competitive at a local and international level. After all, usually new technologies</p>

	<p>are either yield increasing or cost saving. This leads to the question at the core of the Department's support to the Sector: what new technologies are emerging and how will they change the face of global agriculture?</p>
<p>Focus of the intervention</p>	<p>At the core of the Western Cape Department of Agriculture's support provided to the Agricultural Sector is the development, adaptation and transfer of new technologies with the view of making the Sector responsive and prosperous whilst it becomes united and remains in balance with nature.</p>
<p>Objective or outcomes of the intervention (specify which)</p>	<p>In delivering these services, the intention is to grow the economy of the Province, generate jobs and create a more equal society whilst the status of the natural environment is maintained.</p>
<p>Outputs of the intervention (e.g. from logframe)</p>	<p>A successful farming operation can only exist in the area 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 directly influenced.</p> <div data-bbox="531 987 1398 1630" data-label="Diagram"> </div> <p>Figure 1: The Agricultural space in which the Department's interventions can make a difference.</p> <p>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. Water-use efficiency can be improved and the climate can be controlled (through controlled atmosphere production) to a limited extent. The second area of control is the profit function which can normally be described as the</p>

	<p>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 normal approach was introduced by using "utility" instead of price of output. In this way the non-financial benefits of food farming (e.g. household food security, interaction with nature, etc.) can be included in the equation. The third element of control is people who 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 solve numerous problems.</p> <p>Within this framework the Department and its partners provides a range of services. These services are captured in the Department's Annual Performance Plan and relevant indicators are used to measure progress.</p>
<p>Duration and timing of the intervention (when started, when ends)</p>	<p>On 3 July 1883 the Chairperson of the Agricultural Society of the Cape of Good Hope wrote a petition to the Parliament of the Colony of the Cape of Good Hope. The purpose of this petition was to request the establishment of a Department of Agriculture and its immediate result was the creation of the Elsenburg Agricultural College. Elsenburg eventually became the Head Office of the Winter Rainfall Area of South Africa's Department of Agriculture.</p> <p>As Agriculture is a Schedule 4 (concurrent) function of South Africa's Constitution (Act 106 of 1996), the Western Cape Department of Agriculture was established in 1996 with the resources of the Winter Rainfall Region at its core and Elsenburg as its Head Office. This department provides a range of services (see outputs above) and it is expected that services will continue to be rendered to the Agricultural and Agri Processing Sector until the Constitutional responsibilities placed on Provincial Government is changed.</p> <p>It follows that the Department's existence is as a result of a request by the citizens of the Province and this function includes support for the entire Sector. Hence, the services to be provided by the Department need to be adapted to suit changes in the Agricultural environment.</p>

Part C: Motivating for the evaluation of this intervention being considered in the Provincial Evaluation Plan

<p>How is this linked to the 5 PSGs and 14 National Outcomes?</p>
<p>At the national level, Chapter 6 of the National Development Plan (NDP) focusses specifically on the development of the rural economy of South Africa. The NDP has been translated into 14 National Outcomes (NO) with associated targets to be</p>

achieved. Of these the following NOs have particular relevance for the Agricultural and Agri processing 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, five Provincial Strategic Goals (PSG) have been identified. The first of these focusses on the creation of opportunities for growth and jobs whilst PSG 3 addresses wellness (including food security) and PSG 4 intends to address the living environment which includes land and water resources.

Innovative

A long-term analysis of agricultural performance reveals that there is a direct and causal relationship between innovation, adoption of new technologies, successful farmers and lower food prices. Hence, whilst farmers need to adopt new technologies to survive, these technologies will lead to lower food prices (in real/deflated terms global food prices are currently lower than in any time in history) which has a direct impact on the poor in our society (who spend the highest percentage of household income on food).

How large is it?

Estimated budget for intervention for current financial year (total also if known)

It is expected that the Department's allocation will be R820 million during the 2017/18 financial year.

Nos of people directly affected or enrolled (e.g. service users, beneficiaries...)

As described above, there are currently 196 000 people employed in the Agricultural and 214 000 in the Agri processing Sector of the Province. This adds up to 410 000 workers, roughly equal to 17,7% of people with jobs in the Province. There are also 6 653 commercial and 9 844 smallholder farmers in the Province.

Is this an area of substantial public interest? Is so how is this shown?

The Agricultural and Agri processing Sector regularly makes the headlines of papers. Most recently the conditions (accurately portrayed or not) of agri workers in the Wine Industry was highlighted during a video broadcasted on Danish television. Other issues regularly making the headlines include land reform, adverse weather conditions (droughts, floods, hail), disease outbreaks, international trade (e.g. the Geographical indication clause to the recently implemented Economic Participation Agreement between South Africa and the European Union), etc.

Is the intervention at a critical stage where decisions need to be taken, and when?

It will be explained below that the world is facing what is variously described as the 4th Industrial Revolution, Technology 4.0 and a new phase of the 3rd Industrial Revolution. However, all agree that the world is facing a phase of rapid change and opportunity. It follows that it is important to get clarity on the nature of these changes and its impact on the Western Cape Agricultural Sector; particularly in the light of the vulnerability of the most important industries.

Part D: Details on the evaluation proposed

Key focus of the evaluation

An analysis of the various trends underlying the 4th Industrial Revolution, its impact on the Western Cape and how the

	Province can minimize the negative impacts and support positive trends.
Type of evaluation	Diagnostic, impact and design
Likely duration (months)	6 months
How recently was this intervention evaluated – if not for a long time then higher priority	No similar diagnostic and design evaluation has been done for the Western Cape Province.
Do you have an approximate budget for the evaluation?	R800 000
What potential budget for evaluation is available from the Dept, or donors	An amount of R800 000 is available in Programme 1: Administration, Vote 11: Agriculture.
What are the main evaluative questions you will be asking (maximum 5)	
<p>During this evaluation the following key questions will be addressed:</p> <ol style="list-style-type: none"> What variables are influencing the multi-facetted changes in the global agricultural environment. What new technologies and trends will most likely have an impact (both negative and positive) on the Western Cape Agricultural and Agri processing Sector? What are the economic, social, technological and political impact of these trends and how should they be ranked in terms of influence? What should be done (actions) by the Sector to minimise negative impacts and maximise positive opportunities? Who (Government, farmers, agribusiness, etc.) should take responsibility for which actions? 	
What monitoring data or existing evidence can be used including on background and previous documented performance, current programme situation. Is this of good quality?	As the purpose of this evaluation will be to explore new emergent technologies, it is evident that no monitoring data is available. It will be expected of the service provider to identify emerging trends (and trend breaks) and to conduct an extensive and detailed analysis of available literature. Based on an understanding of the Western Cape Agricultural Sector (in global context) the implications of the above need to be applied to local farming and recommendations should be made on potential reactions and consequences.
Is there a strong theory of change and logical framework	
<p>The 1st Industrial Revolution took place from 1760 to 1840 with the introduction of railways and the steam engine which made mechanical production possible. During the 2nd Industrial Revolution, from the late 19th Century to the early 20th Century, the introduction of electricity and the assembly-line led to mass production. The 3rd Industrial Revolution, often called the Digital Revolution, started in the 1960's and gave rise to personal computing and the internet.</p> <p>It can be argued that the 4th Industrial Revolution is not merely an extension of the Digital Revolution (Version 3.2), but that the world is at an inflection point. Virtual</p>	

and physical systems of manufacturing, combined with new developments in the fields of gene sequencing, nanotechnology, renewables and quantum computing enable systemic changes across the physical, digital and biological domains that makes the 4th Industrial Revolution fundamentally different from its three predecessors. In a world where 17% (1,3 billion people) of the population has not yet reached the 2nd Industrial Revolution (they have no access to electricity) and 4 billion people (almost 50% of the world's population of whom most live in the developing world) is still not connected to the internet (i.e. not reached by the 3rd Industrial Revolution), how will society be impacted? In 1990 the three biggest companies in Detroit, USA (a prime example of 2nd Revolution manufacturing) had a combined market capitalisation of \$36 billion with 1,2 million employees. The three biggest companies in Silicon Valley, USA, had in 2014 a market capitalisation of \$1,09 trillion (33 times higher) and 137 000 employees (9 times lower).

Some of the current drivers of the 4th Industrial Revolution include autonomous vehicles, 3D printing, advance robotics, new materials, digital as well as biological developments. It is expected that the result of these drivers will have impacts with economic, employment, workplace, business, crime, government and conflict dimensions. It is evident that we are standing at the brink of a number of changes which will fundamentally, and irreversibly, influence and change the economic, social and political systems at macro, meso and micro levels. Indeed, the question companies and industries need to face is no longer "will I be disrupted", but rather "when will my business be disrupted, how will the disruption take place and how will it affect me and my business?" It will probably be those businesses who most effectively succeed in combining the digital, physical and biological worlds that will be the most resilient against disruptive change.

However, all is not lost. Global society still has the opportunity to drive the 4th Industrial Revolution in a desired direction by understanding the changes, showing leadership and establishing a common set of values to drive policy choices. Similarly the Department needs to envision the implications of the 4th Industrial Revolution and prepare to respond to it.

8 KEY IMPLEMENTATION ISSUES

8.1 Capacity to undertake the evaluations

WCDoA 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 2017/18 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 WCDoA during the 2013/14/15/16 financial years of the evaluation programme roll out.

8.2 Institutional arrangements

A Departmental Evaluation Committee (DEC) was established in 2015 comprising all relevant Programme managers in the department and an 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, to interrogate the specifications for evaluation studies, and have oversight on evaluation management to ensure optimal value from evaluation processes. The Committee is also mandated to evaluate all formal proposals received as a result of formal tenders advertised in the Government Tender Bulletin as per procurement prescripts. 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 1.5million. Refer to the table 7 below.

Table 7: Evaluation budget

Name of intervention	Title of evaluation	Approx. budget (R)	Source of funds		
			Dept.	Dept. DPME/ Province	Other (specify who)

Name of intervention	Title of evaluation	Approx. budget (R)	Source of funds		
			Dept.	Dept. DPME/ Province	Other (specify who)
LandCare sub-programme	Impact and design evaluation of the WCDOA LandCare sub-programme	500 000	500 000		
The Fourth Industrial Revolution	The Diagnostic and design Evaluation of Fourth industrial revolution	1000 000	1000 000		

8.4 Follow-up to the evaluations

These two evaluations 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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