



**Western Cape
Government**

Agriculture



Departmental Evaluation Plan 2019/20

Shelton Mandondo and Dr Dirk Troskie
Western Cape Department of Agriculture

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FOREWORD BY THE ACCOUNTING OFFICER

The good, the bad and the ugly of evaluations are embedded in the process of assessment at whatever level or scope that has been predetermined. The process of evaluation requires maturity both at the organisational and individual level to design, deliver and develop responses required to address the challenges identified.

So the good – evaluations create opportunities to gain insight and knowledge as well as confirmation of what has worked within the predetermined scope. It highlights the key processes, and data available to deliver on a plan, proposal or project. It allows the individual managers or a team to soberly, engage and reflect on what has worked, and also confirm the design and implementation were done according to the norms and standards. It also highlights successes and achievements, which allows the individual or department to confirm value for money and impact (depending on the type of evaluation). Evaluations allow that good corporate practices can be confirmed and even reconfirmed. Above all it guides the Department to continue with service delivery understanding the value of actions and activities.

But then the bad, and the bad relates to the results but also to the understandings before and after of what to do next and how to reconfigure the 'normal' way of doing. The bad is linked to especially managers' behaviour on receipt of the report and the concomitant responses from a higher authority that can use the results to 'punish' individuals or even teams. So evaluations can be misused and don't serve the bigger organisation in improving service delivery and also send the wrong message out that evaluations is 'dangerous' and not to be trusted.

Lastly the ugly, relates to interpretation of the results or recommendations, and the required reflections to develop a management improvement plan to tackle the delivery in a different manner. This requires the acceptance and understanding that evaluations are part of a process to ensure good governance and proper (and impactful) delivery of services. The maturity of a team and an individual is imperative but introspection is required. Often this is the most difficult part of an evaluation.

The two evaluation themes (The Smart Agri plan and Programme: Sustainable Resource Management) chosen, require the good, the bad and the ugly. It is an attempt by the Department to invite 'outsiders' in to confirm the achievements, processes and outcomes per the plans, but will require the Department (and specifically the respective teams) to embrace the changes and implement for a better service delivery, better together.



MS JS ISAACS
HEAD OF DEPARTMENT

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DATE

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GLOSSARY

ACDI	African Climate Development Initiative
BPS	Business Planning and Strategy Directorate
CASP	Comprehensive Agricultural Support Programme
CRDP	Comprehensive Rural Development Programme
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
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 Departmental Evaluation Plan presents detailed information on evaluations planned for the 2019/20 financial year and registered on the Provincial Evaluation Plan (PEP). It also flags out evaluations in progress and those implemented during the last three years.

It is on record that the Western Cape Province experienced an unprecedented drought phenomenon during the past three consecutive years of low rainfall. The rainfall recordings in 2016 and 2017 were the two lowest annual rainfalls registered in the past 100 years. The resulting drought had severe economic, environmental and social impacts. A report by the Western Cape Department of Agriculture (WCDoA) in collaboration with the Bureau for Food and Agricultural Policy estimated that the impact of the drought equated to an average production decline of about 20%. Compared to the previous seasons, aggregate income after costs in the Agricultural Sector in the Western Cape was estimated to have declined by up to R5.9bn¹. The Agricultural Sector on average cut its water usage by 60%, and in some areas, farmers exhausted their entire water allocation quota in order to salvage essential on-farm services. (Pienaar & Boonzaier, 2018). This resulted in a significant drop in output and job losses as farmers prioritised crops with higher profit margins and abandoned crops yielding lower profit margins.

In response to this unprecedented phenomenon, Government introduced a wide range of support measures to assist the beleaguered sector. One of the interventions that drew widespread national attention was the SmartAgri plan introduced in May 2016 by the WCDoA in collaboration with other Western Cape institutions². This plan endeavours to capacitate farmers to be resilient to this drought and be sustainable in the long term. It presents a "road map" for the Agricultural Sector to travel towards a more productive and sustainable future, despite the uncertainties around specific climate projections. This plan has been widely acknowledged by the Agricultural Sector as one of the best plans developed for the sector. Furthermore, owing to its position as a highly vulnerable sector, Agriculture is the first sector in the province to benefit from a sectoral climate change response framework and plan. For this reason, the design, implementation and impact of SmartAgri plan will be evaluated.

To complement the SmartAgri plan evaluation, WCDoA will include in this DEP an implementation, economic value and impact evaluation of the Programme: Sustainable Resource Management (SRM). This programme delivers four strategic support services to all farmers in the province. These include: Engineering Services, LandCare, Land Use Management, and Disaster Risk Management. These services place major emphasis on maintenance and improvement of current natural resources through implementation of projects, application of regulations, and awareness-raising communication campaigns. The overall objective is to ensure the long-term sustainability of the Agricultural Sector.

¹ Economists have calculated that the current drought led to at least 35 000 job losses and the Gross Value Added (GVA) is calculated to decline by R4,96 billion. This is equal to a decline of 22,9% in employment (based on QLFS 2017 Q4) and 26,9% based on GVA (RGDP 2015) of the Western Cape primary Agricultural Sector.

² Department of Environmental Affairs & Development Planning (DEA&DP), and the University of Cape Town's African Climate and Development Initiative (ACDI).

DEPARTMENTAL EVALUATION PLAN: 2019/20

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:

- a) The National Planning Commission (NPC) 2011 recommendations;

- b) The National Development Plan (NDP) Chapter 13: 'Building a capable and developmental state';
- c) 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 at National and provincial level;
- d) 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 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

In October 2017, the National Department of Planning, Monitoring and Evaluation (DPME) officially recognised WCDoA as the best Department in South Africa in terms of institutionalising evaluations at a provincial level. A number of performance indicators were factored in to arrive at this decision. One of them was the ability to draw a clear distinction between monitoring and evaluation, with the latter referring to the process of objectively reviewing programme performance in particular areas; and in so doing, making objective decisions based on relevant data or information collected using scientific methods that conform to international best practice.

WCDoA views monitoring as inherently a performance management function, whereby managers routinely 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 or important, 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 range of implementation processes in service of the Departmental Evaluation Plan (DEP), require both internal and external resources. Internal requirements involve capacity building, assignment and adoption of new responsibilities, development of a management structure, and commitment of funds. In addition, external skills and support services are required in service of high quality and independent evaluations. The use of external evaluators and external support is also intended to address the need for impartiality and objectivity. This is done 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:

- a) To improve policy or programme performance (evaluation for learning), and provide feedback to managers to be used in service quality improvement;
- b) To improve accountability in respect of where public spending is going and the difference it is making;
- c) To improve decision-making; e.g. on the basis of understanding what is working or not-working as intended;
- d) 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 required to develop departmental evaluation plans (DEPs). Some evaluations included 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 conducted 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 level, and improvement plans are developed and monitored, so that there is follow-up and accountability to the need to utilise the findings of evaluations. In the case of departmental evaluations, the implementation of improvement plans is monitored by the department. If also part of the NEP/PEP, they will be monitored by DPME/OTP³.

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

The main types of evaluation are:

- a) Diagnostic – to understand the nature of the problems faced by programmes, the root causes and options available; which should be conducted prior to designing a new intervention or reviewing challenges facing an existing one;
- b) Design evaluation – to assess whether the design of the intervention is robust and likely to work;
- c) 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;
- d) 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.
- e) 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.

³ Concerning Evaluations Quality Assurance and Evaluation Management Systems, the DPME indicated in 2018 that it is no longer available to provide these services due to budget constraints and limited human capacity. It has opted to delegate this responsibility to provinces and discussions are in progress to finalise the process.

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 2019/20 financial year, and which are linked with the budgeting process.

Before discussing the 2019/20 prioritised evaluation(s), it is important to flag the status of the evaluation programme within the Department, to justify the adopted pathway. The WCDoA has over the past three years embarked on more than seventeen evaluations. The majority were successfully completed and awaiting the ratification of the MIP. A few outstanding evaluations are scheduled for completion in 2018/19.

Table 1 below presents the current implementation status of the departmental evaluation plan. It should be noted that 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 being in progress.

Table 1: WCDoA evaluations in progress in 2018/19 and planned for 2019/20

PERIOD	EVALUATION	TYPE	IMPLEMENTATION STATUS
2017/18	Evaluation of programme 6, "agricultural economics services"	Diagnostic and design evaluation	MIP phase
2017/18	WIETA CODE	Implementation & impact evaluation	MIP phase
2017/18	LandCare evaluation	Design, impact and economic evaluation	MIP phase
2018/19	Success rate of land reform projects supported by the Department	Implementation & impact evaluation	MIP phase
2018/19	Evaluation of Youth Development initiatives of the WC DOA	Design, Implementation & impact evaluation	MIP phase
2018/19	Evaluation of the implementation, design and strategy of Project Khulisa Agri-processing	Implementation, design and strategy	MIP phase
2019/20	SmartAgri plan	Design, implementation and impact	Concept Document finalised
2019/20	Sustainable Resource Management	Design, implementation, economic and impact	Concept Document finalised

According to the National Evaluation Policy Framework (NEPF) guidelines, the process of signing 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 finding 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, only three evaluations were implemented during the 2017/18 financial year and two will be commissioned in 2019/20. Concept documents and terms of reference have been developed for: 1) The external evaluation of the design, implementation and impact of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri); 2) An evaluation of the design, implementation, economic value and impact of the Programme: Sustainable Resource Management. 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 is aligned with 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 2019/20 financial year. These evaluations complement each other and are designed to influence Government planning and budgeting from many angles. From a national strategic perspective, one of the foci of the Medium Term Strategic Framework for 2014-2019 is on collaborative support for food security. On the other hand, the foci endeavour to ensure environmental protection, conservation farming and landcare education. These contributions have been clearly captured in 'Outcome 7: Vibrant, equitable and sustainable rural communities with food security for all'⁴.

⁴ The Programme: Sustainable Resource Management provides a support service to other programmes, departments and the agricultural community at large; and for this reason, the programme contributes either directly or indirectly to the SmartAgri plan.

The Western Cape Government (WCG) recognises the important role of the Agricultural Sector in the provincial economy, and in attaining food security. The sector has considerable potential to drive economic growth, job creation and social development in rural areas. As South Africa becomes progressively more urban, the agricultural sector remains critical in supporting important rural-urban linkages. This is underscored in the National Development Plan (NDP) and the Provincial vision for economic and social development (OneCape-2040), as well as other strategies and planning initiatives.

At the same time, the WCG has identified the agricultural sector as being particularly vulnerable to a changing climate. Climate projections for the region indicate continued warming of 1.5 °C to 3 °C across the whole province by 2050, with some moderation of increases along coastal areas. Very high temperatures and heat waves are expected to become more common. Winter rainfall is projected to decrease over most of the province by mid-century, although some models show a likelihood of increasing rainfall, particularly over the eastern regions. Longer dry spells and more frequent droughts are likely, as well as more frequent heavy rainfall and flooding, particularly in late spring and early summer. Other possible high impact climate risks include changing frequencies and locations of frost, unseasonal cold snaps, hail and strong wind.

The above challenges invites the following services to be deployed:

- a) Engineering Services to provide engineering support (planning, development, monitoring and evaluation) with regard to agricultural water use and irrigation technology, on-farm mechanisation, value adding infrastructure, farm structures and resource conservation management.
- b) LandCare services to promote the sustainable use and management of natural agricultural resources by engaging in community based initiatives that support sustainability (social, economic and environmental), leading to greater productivity, food security, job creation and better well-being for all.
- c) Land Use Management to deliver support services to decision makers dealing with applications resulting in the change of land use, taking various legislations into account; e.g. Subdivision of Agricultural Land Act no 70 of 1970 (SALA), the Conservation of Agricultural Resources Act no 43 of 1983 (CARA), Spatial Planning and Land Use Management Act no 16 of 2013 (SPLUMA), Western Cape Land Use Planning Act no 3 of 2014 (LUPA) and the National Environmental Management Act no 107 of 1998 (NEMA).
- d) Disaster Risk Management to provide agricultural disaster risk management support services to clients / farmers.

To sum it up, from a policy, planning and budgeting perspective, the implementation of the two evaluations will deliver on the following:

- a) Provincial Strategic Goals:
 - a. PSG 1: Create opportunities for growth and jobs;
 - b. PSG 2: Improve education outcomes and opportunities;
 - c. PSG 3: Increase wellness, safety and tackle social ills;
 - d. PSG 4: Enable a resilient, sustainable, quality and inclusive living environment;
 - e. PSG 5: Embed good governance and integrated service delivery through partnerships and spatial alignment.

- b) In a similar fashion, the Programme: Sustainable Resource Management also supports the following National Outcomes:
 - a. NO 4: Decent employment through inclusive economic growth;
 - b. NO 5: Skilled and capable workforce;
 - c. NO 6: Economic infrastructure;
 - d. NO 7: Vibrant, equitable, sustainable rural communities contributing towards food security for all;
 - e. NO 10: Protection and enhancement of our environmental assets and natural resources.

Within the WCDoA there are 7 Departmental strategic goals and the 2019/20 Departmental evaluation plan has been included as an 'annual strategic objective' performance indicator, with the number of evaluations completed included as a province specific indicator in the WCDoA annual performance plan.

4. DEPARTMENTAL EVALUATION SYSTEM

4.1. Resources & structure of the department to support evaluation

The following components 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 was 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 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 inclusion in the PEP.

The approved annual cycle for developing the WCDoA evaluation plan is presented in Table 2 and 3 below. It is important to note that in keeping with its cost containment strategy, the Department does not have a stand-alone 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 conducted in the 2019/20 financial year. For this reason, some of the processes that include workshops to design concept notes will not be applicable. Instead, the BPS team and the resident resource person (with extensive experience in coordinating evaluations) provides individual guidance to Managers leading specific evaluations.

Table 2: Phase 1: Preparing the DEP: The SmartAgri plan and Programme2: Sustainable Resource management evaluations

Action	Responsibility	Timeline
Call for proposals	Business Planning and Strategy Directorate (BPS)	March 2018
Concept notes received	BPS Programme manager	March 2018
Concept notes prioritised/selected	BPS Programme manager	July 2018

Action	Responsibility	Timeline
Meet with Management to agree	BPS Programme manager	August 2018
Departmental evaluation plan drafted	BPS Programme Manager	September 2018
DEP submitted to DEC and EXCO for input	BPS Programme manager	September 2018
Evaluation included in budgets	BPS Programme manager	October 2018
DEP finalisation for approval	BPS Programme manager	November 2018
DEP signed off by HOD	HOD	January 2019

Table 3: Phase 2: Preparing the DEP: The SmartAgri plan and Programme2: Sustainable Resource management evaluations

	Action	Responsibility	Timeline
	Terms of Reference completed	Research and Technology Development (RTD); Programme: Sustainable Resource Management (SRM); Dept. Eval Com* (DEC) & BPS Programme managers	March - April 2019
External SPs	Call for proposals from service providers out	Dir: BPS, RTD & SRM	March - April 2019
	Bidders briefing	Dir: BPS, RTD, SRM & DEC	March - April 2019
	Bids received	Dir: BPS, RTD, SRM & DEC	March - April 2019
	Shortlisting	Dir: BPS, RTD, SRM & DEC	March - April 2019
	Bidders presentation	Dir: BPS, RTD, SRM & DEC	March - April 2019
	Service provider selected	Dir: BPS, RTD, SRM & DEC	March - April 2019
	Service provider appointed	HOD and Legal Services	April – May 2019
	Inception report submitted	Evaluator; DEC, RTD, SRM and BPS Programme managers	April – May 2019
	Literature review	Evaluator; DEC, RTD, SRM and BPS Programme managers	July - August 2019
	Draft report	Evaluator	August – September 2019
	Stakeholder validation workshop	Evaluator; DEC, RTD, SRM and BPS Programme managers	September – October 2019
	Draft Final report	Evaluator	September – October 2019
	Final report approved	Evaluator; DEC, RTD, SRM and BPS Programme managers	October 2019 - January 2020
	Programme Improvement Plan	HOD & Dir: BPS, RTD, SRM & DEC	February – March 2020

*Dept. Evaluation Committee 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	Focus (purpose) of evaluation/research	Status	Date of completion	Implementation of findings (progress)
Programme 1	The future of the Western Cape Agricultural Sector in the context of the 4th Industrial Revolution	<p>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.</p> <p>The findings will include the 5 most important new technologies which will confront the Western Cape Agricultural Sector over the next decade.</p>	Completed	2018	<p>The Department responded by aligning its strategic position to the opportunities and threats of the 4th Industrial revolution by inter alia:</p> <ul style="list-style-type: none"> Presenting the implications of the 4th IR to its Extended Management and Industry stakeholders, and the inclusion of the implications of the 4th IR in its Annual Performance Plan and in the WCDOA's Strategic Plan (SP) for 2020/21 – 2025/30.
Programme 1	Design, implementation and impact valuation of Youth Development initiatives of the WC DOA	Measure the quality of the initiative and the impact on the lives of the youth in rural space, on the Department, and in the agricultural sector in general	Study Completed	2019	As part of the MIP, a comprehensive and effective Human Capital Development Strategy will be developed to enhance skills development and career development opportunities for youth with the main outcome to reduce unemployment

Departmental programme	Title	Focus (purpose) of evaluation/research	Status	Date of completion	Implementation of findings (progress)
Programme 1	Evaluation of the implementation, design and strategy of Project Khulisa Agri-processing	Determine the success of implementation processes, what has been achieved to this point in terms of contribution to impact as well as the effectiveness of the development processes followed to date, and the suitability of the theory of change of Project Khulisa Agri-processing.	Study Completed	2019	As part of the MIP, WCDoA will validate or alternatively adjust its premises and design, including the choice of three foci, specific initiatives embarked on and implementation approach during the new strategic plan for 2020/21 – 2025/3020.
Programme 2	Impact and design evaluation of the WCDoA LandCare sub-programme	<p>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.</p> <p>The evaluation will 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.</p>	Study Completed	2019	<p>As part of the MIP, the WCDoA will</p> <ul style="list-style-type: none"> • Define the criteria for prioritising the spaces in which LandCare seeks to drive sustainable natural resource management within an adaptive management approach. • Build its capacity for social facilitation to expand environmental stewardship networks across socio-economic contexts. • Ensure appropriate communication and coordination of planning and implementation with other institutional actors to avoid duplication of efforts. •

Departmental programme	Title	Focus (purpose) of evaluation/research	Status	Date of completion	Implementation of findings (progress)
Programme 3	A performance Evaluation of land reform projects supported by the Department of Agriculture: Western Cape	Assessment of the design of the model with a view to documenting its optimal theory of change; i.e. how the intervention contributes to successful outcomes of the Land Reform programme. Analysis of impact measured against the WCDoA's set goals. A key indicator to be assessed is the graduation of smallholder farmers to commercial status.	Study Completed	2019	As part of the MIP, the department will identify those elements and approaches that do not substantively add value and which may detract from the long-term sustainability of the programme, and to justify continued support for the programme.
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 investigated the 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 has been presented.
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 'Macroeconomic 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	A programme improvement plan has been developed to address the following gaps: 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;

Departmental programme	Title	Focus (purpose) of evaluation/research	Status	Date of completion	Implementation of findings (progress)
					<p>c) Administration of medium-term evaluations of systems and databases to ensure relevance;</p> <p>d) Revisiting the theory of change through continuous monitoring of clients and target groups and adaptation to their needs.</p>
Programme 7	Impact Evaluation of the Structured Agricultural Education and Training Programme (SAET), Sub-Programme: Higher Education and Training (HET)	An impact evaluation to determine the extent to which the SAET HET offerings answer to the needs of the sector and contribute to youth employment. The evaluation covered four HET programmes offered at Elsenburg Agricultural Training Institute (EATI) and students who graduated between 2009 and 2014.	Completed	2016	<p>A programme improvement plan has been developed to address the following gaps:</p> <ul style="list-style-type: none"> a) Inadequate needs assessments done; b) misalignment of course modules with industry needs; c) Inadequate practical, hands-on exposure and opportunities; d) Staff shortage, marketing the SAET HET programmes and recruiting high-quality students (PDIs and females).
Programme 8	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	2017	<p>The MIP was developed.</p> <p>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.</p>

6. SUMMARY OF EVALUATIONS (AND RESEARCH) PROPOSED FOR 2019 TO 2020

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

The Department assesses a number of criteria in 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, enhance in-house efficiencies, could bring value for money and learning is deemed 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 at this point in time;
- f) There is a need to develop baseline data or monitoring data that can be used including background and previous documented performance, and the 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 2019/20 financial year covered by this Plan and submitted on the National Evaluation Plan. Three 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 2019/20

	Intervention to be evaluated	Title and type of evaluation	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
						2018	2019	2020		
Dr Ilse Trautmann Chief Director: (RTD)	The Smart Agri Plan	Diagnostic, implementation and design evaluation of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri)	The evaluation will focus on the diagnostic, implementation and design of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri) on the agricultural sector and its related stakeholders. The evaluation will also focus on the uptake of the actions	yes	yes		yes	yes	Climate change will affect the Western Cape most of all the nine provinces. It is of substantial public interest; which will develop over time as the population becomes increasingly aware of climate change impacts. SmartAgri is a plan to support a sustainable and climate resilient agricultural sector which will ensure the food basket for the people of the Western Cape, as well as ensure job creation and economic growth and prosperity.	yes

	Intervention to be evaluated	Title and type of evaluation	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
						2018	2019	2020		
			indicated in the plan by its stakeholders after the launch of the plan.							
Ms Ashia Petersen (SRM)	Programme: Sustainable Resource Management	An evaluation of the design, implementation, economic value and impact of the Programme: Sustainable Resource Management	The evaluation will focus on the ability of the Programme (including all four sub-programmes) to continue to deliver on its mandate given the dynamic environment in which it operates.	yes	yes		yes	yes	Agriculture is an essential contributor towards food security, not only in the province, but for the entire country. The entire agricultural sector in the Western Cape province depends on the health of the available natural resources and any impacts on natural resources may affect the sustainability of a viable and vibrant agricultural industry. As it is natural resources that sustain the agricultural industry, it is essential that agricultural practices maintain a balance with nature and protect and develop the health of these resources.	yes

7. DETAILED CONCEPT FOR EVALUATIONS (AND RESEARCH) FOR 2019/20

7.1. Concept Note 1: Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri) (Western Cape Department of Agriculture)

Part A: Key contact details

Name of proposed evaluation	Diagnostic, implementation and design evaluation of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri)	Year proposed	2019-2020
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Institution proposing evaluation	Department of Agriculture	Initial Contact person (name /designation)	Dr IA Trautmann
Alternative contact	Dr M Wallace	Email	ilset@elsenburg.com
Email	MikeW@elsenburg.com	Telephone	021 - 808 5012
Telephone	021 - 808 5088	Cell	083 6295921

Department that is custodian (and will implement the improvement plan arising from the evaluation)	<p>Custodian department: Western Cape Department of Agriculture</p> <p>Supporting departments: Western Cape Department of Environmental Affairs and Development Planning</p>
Other Transversal departments/ agencies involved in the intervention	Western Cape Department of Environmental Affairs and Development Planning was co-developer of the plan. In the implementation, other provincial and local government departments will also be involved, as well as other agricultural stakeholders.

Part B: Background to the intervention being focused on

Specific unit of analysis of the evaluation (should be a policy, plan, programme or project)	The unit for analysis is the entire Western Cape Agricultural Sector Climate Change Framework and Implementation Plan. (SmartAgri)
Give some background to the intervention	
Summary description	Extreme weather events are threatening food security and economic growth, especially in the Western Cape which has been identified as the province which will be most affected by climate change in South Africa. Climate change modelling shows that annual temperatures are rising and the number of colder days will decrease. Droughts, floods and heat waves will become more regular and these trends have highlighted the need for a co-ordinated response from government and the private sector to mitigate the impact of climate change.

	<p>In a ground breaking development, the Western Cape Government released the first ever sectoral climate change response strategy for the province. This "Better together" project was commissioned by the Departments of Agriculture (Lead Department) and Environmental Affairs and Development Planning; and executed by a team of experts of ACDI (African Climate Development Initiative).</p> <p>The development of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri) commenced on the 1st of August 2014 and was completed on the 31st of March 2016. During this 20-month period the project was executed in three distinct phases: Phase 1) Status Quo assessment informing the framework design; Phase 2) the population of the framework; and Phase 3) development of an implementation plan as well as the development and roll out of a communication campaign to support the framework implementation.</p> <p>This plan which included intensive stakeholder engagements will guide and support the creation of greater resilience to climate change for farmers, agri-businesses and other stakeholders across the province. The project provided real and practical information and support, and should inspire the sector in a manner which optimises decision-making and ensures sustainability at a local level.</p>
<p>Focus of the intervention</p>	<p>The Western Cape Government departments of Agriculture and Environmental Affairs and Development Planning jointly developed an Agricultural Sector Climate Change Framework and Implementation Plan for the Western Cape Province. An Inter-Departmental Project Steering Committee was appointed to oversee the execution of the project. A phased approach was adopted in the development of this sector-based framework and implementation plan, was achieved over a period of two years.</p>
<p>Objective or outcomes of the intervention (specify which)</p>	<p>The main objective was to develop a plan which could serve as a roadmap to ensure a low carbon, climate resilient agricultural sector in the Western Cape. It is further envisaged that the Framework and Implementation Plan will guide and support the creation of greater resilience to climate change for farmers and agri-businesses across the province.</p> <p>In summary the following objectives were key to this plan:</p> <ol style="list-style-type: none"> a) build on the Western Cape Climate Change Response Strategy (2014); b) highlight the climate projections that will impact on the agricultural sector in the Western Cape; c) identify the effect of climate change on agriculture in the Western Cape as one of the major determinants of the sustainability of the natural resource base, the agricultural sector and the competitiveness of its farmers; d) compile a roadmap and implementation plan for the agricultural sector to become climate change resilient.

Outputs of the intervention	<p>The following outputs were delivered during the development of the plan:</p> <ul style="list-style-type: none"> a) A status quo assessment including a stakeholder and a situational analysis; b) A developed and populated Western Cape Agricultural Sector Climate Change Framework. WC (Western Cape) and HFA (Homogenous Farming Areas) specific climate scenarios spatially mapped with confidence levels. Low and high road scenarios mapped for the WC agricultural sector, agreed agro-climatic zones and for each farming category; c) An Implementation plan and communication campaign; d) A list of key stakeholders identified as part of the project, including all relevant organisations and contact details. <p>Besides the plan, 16 regional commodity briefs, 6 case studies, smart agri video and a stakeholder database were delivered.</p>
Duration and timing of the intervention (when started, when ends)	<p>The development of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri) commenced on the 1st of August 2014 and was completed on the 31st of March 2016.</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)

<p>How is this linked to the 5 PSGs and 14 National Outcomes?</p>
<p>The Western Cape Government (WCG) recognises the important role of the agricultural sector in the provincial economy, and in attaining food security. The sector has considerable potential to drive economic growth, job creation and social development in rural areas. As South Africa becomes progressively more urban, the agricultural sector remains critical in supporting important rural-urban linkages. This is underscored in the National Development Plan (NDP) and the Provincial vision for economic and social development (OneCape-2040), as well as other strategies and planning initiatives.</p> <p>SmartAgri is a key plan of the WC Government and is directly aligned with the five provincial strategic goals (PSGs) of the Provincial Strategic Plan (PSP) for the period 2014 -2019. SmartAgri specifically focuses on PSG 1 (Create opportunities for growth and jobs) and PSG 4 (Enable a resilient, sustainable, quality and inclusive living environment), with the assumption that success in these areas will provide leverage for achieving the other PSGs.</p> <p>The SmartAgri Plan builds on the Western Cape Climate Change Response Strategy (WCCCRS 2014) and its Implementation Framework, specifically the focus area of "Food Security". It also aligns closely with the current five-year Provincial Strategic Plan and the WCG: Agriculture Strategic Goals. One of the seven Goals is "Optimise the sustainable utilisation of water and land resources to increase climate smart agricultural production". Owing to its position as a highly vulnerable sector, the agricultural sector is the first sector in the province to benefit from a sectoral climate change response framework and plan.</p> <p>Main objectives and purpose of the plan</p> <ul style="list-style-type: none"> a) Promote a climate-resilient low carbon production system that is productive, competitive, equitable and ecologically sustainable across the value chain; b) Strengthen effective climate disaster risk reduction and management for agriculture; c) Strengthen monitoring, data and knowledge management and sharing, and lead strategic research for climate change and agriculture; d) Ensure good co-operative governance and institutional planning for effective climate change response implementation for agriculture.

The SmartAgri Plan is strongly premised on collaborative and co-ordinated planning and action within and between the public and private sector, including National, Provincial and Local Government; organised agriculture and commodity organisations; individual farmers and local farmer organisations; agri-processors and agri-businesses in the value chain; labour and civil society; and research and academic institutions. The WCG is implementing a number of initiatives which contribute to building climate resilience in the agricultural sector – but these will need to be increased in scale, and integrated into a wider joined-up sectoral effort. Only when climate change considerations are integrated and institutionalised into the different arenas of decision-making which affect the sector, can the long term resilience of the sector to climate change be realised.

Innovative

The SmartAgri plan presents the “road map” for the agricultural sector to travel towards a more productive and sustainable future, despite the uncertainties around specific climate projections. The plan is a joint effort that seeks to ensure the continued growth and competitiveness of the whole agricultural value chain.

SmartAgri is the first provincial sector plan developed for agriculture and is the first comprehensive plan of its kind; and has also already received international recognition for its innovative approaches to develop the plan.

How large is it?

Estimated budget for intervention for current financial year (total also if known)	The plan was completed in 2016 at a value of R2,75 million and will be in its third year of implementation in 2019.
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Number of people directly affected or enrolled (eg service users, beneficiaries...)	Climate change will impact all the people of the Western Cape. The SmartAgri plan will have a primary impact on the agricultural sector in its totality, from farmer and agriworkers to agribusinesses, etc. – along the entire value chain.
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Is this an area of substantial public interest? Is so how is this shown?

Climate change will affect the Western Cape; most of all the nine provinces and it is of substantial public interest; which will develop over time as the population becomes increasingly aware of climate change impacts. SmartAgri is a plan to support a sustainable and climate resilient agricultural sector which will ensure the food basket for the people of the Western Cape, as well as ensure job creation and economic growth and prosperity.

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

The SmartAgri plan should be implemented by an array of role players, also beyond provincial government and after its launch in 2016, the evaluation is critical to determine its uptake by the sector.

As the SmartAgri Plan is centred on four Strategic Focus Areas (SFA) listed below, it is crucial to ascertain what level of the plan was implemented, whether these were achieved and to what extent?

- a) Promote a climate-resilient low carbon production system that is productive, competitive, equitable and ecologically sustainable across the value chain;
- b) Strengthen effective climate disaster risk reduction and management for agriculture;
- c) Strengthen monitoring, data and knowledge management and sharing, and lead strategic research for climate change and agriculture;
- d) Ensure good co-operative governance and institutional planning for effective climate change response implementation for agriculture.

This requires multi-stakeholder involvement and execution at all levels.

Part D: Details on the evaluation proposed

Key focus of the evaluation	The evaluation will focus on the effectiveness of the implementation of the SmartAgri plan and equally important, attention will be paid on the uptake of the actions indicated in the plan by its stakeholders after the launch of the plan.
Type of evaluation	<p>The evaluation will have elements of design and implementation evaluation.</p> <p><i>a) Diagnostic evaluation</i></p> <p>This will require evaluating the SmartAgri Plan; the development of which involved engagement of stakeholders and identification of implementation plans, needs, challenges and partnerships necessary for mitigating climate change effects. It will be necessary to evaluate the quality and comprehensiveness of the analytic processes and their translation into implementation plans, in the light of implementation experience to date.</p> <p><i>b) Implementation evaluation</i></p> <p>This will require analysis of what has been achieved by way of implementation of the SmartAgri plan to date, against the goals set out in the Plan and implementation of strategies to win sectorial support and buy-in. A key concern will be to understand whether the plan and its proposed actions were implemented by the role players as envisaged, and determine in what depth the implementation was done. The analysis will be aimed at understand what implementation plans are proving more and less successful, and provide a sound basis for improving both the plan and its implementation.</p> <p><i>c) Design evaluation</i></p> <p>This will unpack and document the theory of change and logic of the intervention, both as it was designed and reflecting on its strengths and weaknesses given the experience of implementation. This process will need to question the principle of pursuing a highly focused plan for the agricultural sector. Finally, the analytical and consultative process followed during the identification of focus areas needs to be analysed, highlighting its strengths and weaknesses, and recommending areas for improvement.</p>
Likely duration (months)	6 months
How recently was this intervention evaluated – if not for a long time then higher priority	The project has not been previously evaluated
Do you have an approximate budget for the evaluation?	R900 000

What potential budget for evaluation is available from the Dept., or donors	R900 000
What are the main evaluative questions you will be asking (maximum 5)	
a) To what extent did the smartAgri plan deliver on its main objectives b) To what extent did the smartAgri plan achieve its intended outputs c) What are the successes and weaknesses in the implementation of the SmartAgri plan d) How do partners in implementing the SmartAgri plan perceive the relevance and viability of the Plan as a roadmap towards resilience? e) What are the most promising partnerships and novel or innovative ways of thinking that have emanated from the SmartAgri plan implementation to date? f) Is the theory of change of the SmartAgri plan proving viable and suitable for achieving the aims of becoming a climate change resilient sector?	
What monitoring data or existing evidence can be used including on background and previous documented performance, current programme situation. Is this of good quality?	There is a substantive body of information from the initial investigative work leading to the SmartAgri plan, as well as extensive data and analysis gathered during planning processes as well as subsequent implementation. This data and analysis are of good quality and scientifically sound.
Is there a strong theory of change and logical framework	Yes :-The implicit theory of change of the Project emerged from an extensive consultative and analytical process. This defined how the Plan would be implemented. While there is an implementation plan, the Project does not have a simple or specific log-frame or documented 'theory of change'. However, there are goals, strategic intentions and specific initiatives (with proposed lead organisations and timeframes) that are documented. The evaluation will document the theory of change in practice, with a view to understanding what has and hasn't worked as intended. This is important, given that this a plan with significant innovation and opportunity, and partnership-seeking required.

7.2. Concept Note 2: Programme: Sustainable Resource Management: Western Cape Department of Agriculture

Part A: Key contact details

Name of proposed evaluation	An evaluation of the design, implementation, economic value and impact of the Programme: Sustainable Resource Management	Year proposed	2019/20
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Institution proposing evaluation	Western Cape Department of Agriculture	Initial Contact person (name /designation)	Ms A Peterson: Director: Sustainable Resource Management
Alternative contact	Mr JG Roux	Email	AshiaP@elsenburg.com
Email	JohanR@elsenburg.com	Telephone	021 808 5009
Telephone	021 808 5345		

Department that is custodian (and will implement the improvement plan arising from the evaluation)	Custodian department: Western Cape Department of Agriculture Supporting department: No others – internal to WCDoA
Other key departments/ transversal agencies involved in the intervention	Department of Agriculture, Forestry and Fisheries. Department of Environmental Affairs Department of Water and Sanitation Department of Rural Development and Land Reform Programme: Farmer Support and Development Casidra

Part B: Background to the intervention being focused on

Specific unit of analysis of the evaluation (should be a policy, plan, programme or project)	The Programme: Sustainable Resource Management (SRM), including all four sub-programmes, i.e.: a. Engineering Services, b. LandCare, c. Land Use Management, and d. Disaster Risk Management.
Give some background to the intervention	
Summary description	The Programme: SRM delivers a support service to all farmers in the Province, and the major emphasis is to maintain and improve the current natural resources through implementation of projects, application of regulations and communication campaigns. In its endeavours to ensure the overall sustainability of the agricultural sector, the focus is on interventions at farm level. The impact of climate change will be felt by SRM first; and the changes in methodologies to support farmers will force this Programme to remain innovative.
Focus of the intervention	The purpose of the four sub-programmes is as follows:

	<p><u>Engineering Services:</u> To provide engineering support (planning, development, monitoring and evaluation) with regard to agricultural water use and irrigation technology, on-farm mechanisation, value adding infrastructure, farm structures and resource conservation management.</p> <p><u>LandCare services:</u> To promote the sustainable use and management of natural agricultural resources by engaging in community based initiatives that support sustainability (social, economic and environmental), leading to greater productivity, food security, job creation and better well-being for all.</p> <p><u>Land Use Management:</u> To deliver support services to decision makers with regards to applications resulting in the change of land use, taking various legislations into account; e.g. Subdivision of Agricultural Land Act no 70 of 1970 (SALA), the Conservation of Agricultural Resources Act no 43 of 1983 (CARA), Spatial Planning and Land Use Management Act no 16 of 2013 (SPLUMA), Western Cape Land Use Planning Act no 3 of 2014 (LUPA) and the National Environmental Management Act no 107 of 1998 (NEMA).</p> <p><u>Disaster Risk Management:</u> To provide agricultural disaster risk management support services to clients / farmers.</p>
Objective or outcomes of the intervention (specify which)	The objective of the programme is to ensure the sustainable development and management of agricultural resources.
Outputs of the intervention (e.g. from log-frame)	The outputs of the programme are to provide technical information, the implementation of various projects, application of regulations; and conduct communication campaigns to improve natural resource management at farm level. These projects are delivered under each of the four sub-programmes: Engineering services; LandCare services; Land use management and Agricultural Disaster Risk Management.
Duration and timing of the intervention (when started, when ends)	The SRM programme has been in place since 1996 during the Provincialisation process and the intervention is ongoing. For this reason the evaluation will be confirmed to the past five years of implementation.

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

How is this linked to the 5 PSGs and 14 National Outcomes?
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As the Programme: Sustainable Resource Management provides a support service to other programmes, departments and the agricultural community at large, the programme contributes either directly or indirectly to the following Provincial Strategic Goals:

PSG 1: Create opportunities for growth and jobs,
PSG 2: Improve education outcomes and opportunities.
PSG 3: Increase wellness, safety and tackle social ills,
PSG 4: Enable a resilient, sustainable, quality and inclusive living environment, and
PSG 5: Embed good governance and integrated service delivery through partnerships and spatial alignment.

In a similar fashion, the Programme: Sustainable Resource Management also supports the following National Outcomes:

NO 4: Decent employment through inclusive economic growth,
NO 5: Skilled and capable workforce,
NO 6: Economic infrastructure,
NO 7: Vibrant, equitable, sustainable rural communities contributing towards food security for all, and

NO 10: Protect and enhance our environmental assets and natural resources.

Innovative

Apart from simply providing a support service to others, Programme 2 (Sustainable Resource Management) also applies its knowledge and experience to develop and implement innovative, technology-based solutions where they identify such opportunities. Some such initiatives are as follows:

- a) Fruitlook: A satellite-based system for managing water utilisation in agriculture as effectively as possible.
- b) River protection: An innovative design solution to protect rivers and surrounding areas from flood damage.
- c) Conservation farming 1: Promotion and design of equipment to encourage grain farmers to change from traditional methods to new conservation farming methodologies.
- d) Conservation farming 2: Research and development of methods to also apply conservation farming techniques for rooibos farming.
- e) LandCare youth programme: Promoting LandCare principles in schools to educate the youth in environmental awareness.
- f) Strategic partnerships: Partnerships with other entities to assist with clearing of alien vegetation and providing job opportunities.

As part of the evaluation WCDoA want to determine whether these initiatives have been successful or not?

How large is it?

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

The budget for the 2017/18 financial year for the Programme: Sustainable Resource Management is R 91 134 000. (spent during the financial year in question)

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

The intervention covers the entire Western Cape Agricultural sector.

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

Agriculture is a significant contributor to the Western Cape economy in terms of economic production, export earnings and job creation; and can play a significant role in addressing the high levels of unemployment, and specifically youth unemployment in the province. It is an important driver towards unlocking economic opportunities and social advancement for previously disadvantaged communities and can thus contribute to reducing inequality in society. Agriculture is an essential contributor towards food security, not only in the province, but for the entire country. The entire agricultural sector in the Western Cape province depends on the health of the available natural resources; and any impacts on natural resources may affect the sustainability of a viable and vibrant agricultural industry. The natural resources essential to agriculture are under pressure from population growth, urban creep and a changing environment through climate change. Climate change is expected to increase both the intensity and frequency of natural disasters (e.g. droughts and floods) and reduce the availability of water in the Western Cape. Agricultural practices and industrial impacts further affect the health of natural resources. As it is natural resources that sustain the agricultural industry, it is essential that agricultural practices maintain a balance with nature and protect and develop the health of the resources.

Agriculture in the Western Cape competes on the international stage with imports from abroad and exports to other countries. To remain competitive, the sector needs to remain current with technical developments in agriculture. Technical innovations can further provide a competitive advantage. The deployment of artificial intelligence (AI), sometimes described as the fourth industrial revolution, is currently topical and poses both risks and opportunities for the sector.

It is therefore of significant public interest to protect and develop natural resources for agriculture in the Western Cape and to remain at the forefront of technical developments

in agriculture to ensure a sustainable and viable agricultural industry. The Programme Sustainable Resource Management is uniquely positioned to make a critical contribution towards these goals.

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

The effects of climate change are becoming evident and can have a disastrous impact on agriculture in the province if not effectively addressed. Technology is advancing at a rapid pace, especially in the digital world where artificial intelligence (the fourth industrial revolution) is expected to have a major disruptive effect. The agricultural landscape is rapidly changing socially, politically and environmentally.

The Programme: Sustainable Resource Management needs to respond accordingly to continue to deliver a relevant service effectively, to mitigate risks and to utilise the opportunities afforded by a rapidly evolving technology environment.

Part D: Details on the evaluation proposed

Key focus of the evaluation	The evaluation will focus on the ability of the Programme: Sustainable Resource Management, (all four sub-programmes), to continue to deliver on its mandate given the dynamic environment in which it operates. This includes the (a) natural environment (e.g. climate change & ecosystem), (b) technological environment (e.g. fourth industrial revolution), (c) organisational environment (e.g. government priorities & structures). The evaluation should: a) Identify constraints that compromise or limit the ability of the programme to effectively deliver on its mandate. b) Propose interventions that could improve the programme's ability to effectively deliver on its mandate.
Type of evaluation	The evaluation will include 'Design', 'Implementation', 'Impact' and 'Economic' evaluation elements.
Likely duration (months)	8 months
How recently was this intervention evaluated – if not for a long time then higher priority	The programme as a whole has not been evaluated, although the LandCare component has recently been evaluated. The findings of the LandCare evaluation which include impact, design and economic evaluation elements will be incorporated into the SRM evaluation report, to achieve an overall perspective of Programme 2.
Do you have an approximate budget for the evaluation?	It is expected that the evaluation will cost around R1 million.
What potential budget for evaluation is available from the Dept, or donors	None at the moment, however this evaluation is on the Provincial Evaluation Plan for 2019/20 financial year and as such, it should be prioritised for funding by the Provincial Treasury under the support scheme for strategic and transversal evaluations in the Western Cape.
What are the main evaluative questions you will be asking (maximum 5)	
1) Has the SRM programme been effective and efficient in delivering on its objectives? What has been working well and what is not working well?	

- 2) What is the logical framework and theory of change of each of the four components of the SRM Programme, and how satisfactorily do these jointly serve the overall purpose of the Programme?
- 3) How effective is the Engineering Services Sub-Programme in terms of its scale, model of implementation and cost-effectiveness in achieving 'Strategic Objective 1 – To promote the optimal and sustainable utilisation of the Western Cape land and water resources' and 'Strategic Objective 2 – To render engineering services to increase production and farming feasibility'?
- 4) Which findings and recommendations of the WCDOA 'Fourth Industrial Revolution Evaluation' and the 'LandCare Evaluation' should be considered in improving the design, efficiency and effectiveness of the SRM Programme?
- 5) How can the design, efficiency, reach and cost-effectiveness of the SRM Programme be improved such that the Programme as a whole has a sustained, broader and greater impact?
- 6) How and against what should sustainability on farm and regional level be measured to promote viable farming units given the changes in new technology and production systems?

<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?</p>	<p>The evaluation of the LandCare programme will provide information of relevance to the evaluation, as will the findings and recommendations of the 'Fourth Industrial Revolution Evaluation'. Performance indicators for the SRM programme over the last five years will also be used in assessing performance efficiencies. These sources of data are of good quality. Historical data of volume of work is available for Land Use Management.</p>
<p>Is there a strong theory of change and logical framework?</p>	<p>Programme 2 does not have a documented theory of change and logical framework. It will be a part of the evaluation scope of work to document the implicit theory of change and the implementation logic that lies behind this.</p>

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 2019/20 evaluation process, there is no absolute certainty that DPME listed Evaluators will be readily available to undertake the required scope of work. This has been a thorny area for WCDoA during the 2013/14/15/16/17/18 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 the DPME DG 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 processes and it removes the need for the Department (or the Province⁵) to either compile its own panel or go out on an open tender.

⁵ In 2017 Department of the Premier- Province-wide Monitoring and Evaluation indicated that a process was being initiated to establish a provincial panel of evaluators similar to the DPME structure.

8.3 Funding of the evaluation in the Plan

As indicated in the earlier section, the budget estimate for this evaluation is R1.9million. 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)
Programme: Sustainable Resource Management	An evaluation of the design, implementation, economic value and impact of the Programme: Sustainable Resource Management	R1million			Provincial treasury
Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri)	Diagnostic, implementation and design evaluation of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri)	R900 000			Provincial Treasury

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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