



Western Cape
Government



PROVINCIAL EVALUATION PLAN

2019/2020

'Taking Evaluations to the Next Level' | March 2019

PREAMBLE



Evaluation, as a source of evidence, is critical to inform the review of the current five-year trajectory and the Western Cape Government (WCG) going forward. My message is clear: A quality evaluation should provide credible and useful evidence to strengthen accountability for results and contribute to the learnings. Evaluation evidence is key to the improvement of the routine collection of government performance information, which also contributes to the End of Term Review of the five-year MTSF cycle, political cycle and the WCG vision going forward.

The WCG is now in its seventh year of institutionalising evaluations and has successfully implemented two rolling three-year Provincial Evaluation Plans (PEPs). The implementation of the PEP is part of the Provincial Evaluation System (PES), which is aligned to the elements of the National Evaluation System (NES), the Department of Planning, Monitoring and Evaluation, and the National Evaluation Policy Framework (NEPF). To date, 52 evaluations have been undertaken, 33 reports have been approved and 20 improvement plans have been completed in the Western Cape.

Over the years, evaluations have been institutionalised in the Western Cape to a point where a number of departments are now at a mature stage where evaluations are implemented autonomously. In these departments, evaluation evidence is utilised for the improvement of policies, programmes and projects. There has also been a shift towards linking evaluations to the planning and budgeting cycle. This is about ensuring the usefulness and value of evaluations to provide better evidence on the business performance of huge interventions.

Over the past six years of institutionalisation, many lessons have been learnt and the time has now come to take the PES to the next level. Concerted efforts are now being made to strengthen the PES through the development of profiling standards for a better understanding and access to evaluation findings and communication of recommendations.

This PEP (2019/20) provides the content of the evaluations that will be implemented in the WCG in 2019/20¹. I am pleased to announce that this plan profiles six evaluations submitted through the 2019/20 Budget Cycle process and the ensuing “annual call for evaluations”.

The WCG continues to strive for excellence in evaluations, building and strengthening the PES with a focus on the recommendations emanating from the recent evaluation of the NES². In line with the focus of this year’s PEP, there will be a concerted effort to strengthen the management response and subsequent improvement planning phase of completed evaluations.

A handwritten signature in black ink, appearing to read 'Brent Gerber'.

Advocate Brent Gerber

Department of the Premier
Western Cape Government

¹ The first year of the third three-year rolling PEP 2019/22.

² Genesis, 2018

ABBREVIATIONS

AfrEA	African Evaluation Association
APP	Annual Performance Plan
BI	Business Intelligence
CD: SMI	Chief Directorate: Strategic Management Information
DCAS	Department of Cultural Affairs and Sport
DG	Director-General
DHS	Department of Human Settlements
DOTP	Department of the Premier
DPME	Department of Planning, Monitoring and Evaluation
DSD	Department of Social Development
DTPW	Department of Transport and Public Works
ETWG	Evaluation Technical Working Group
FLISP	Finance Linked Individual Subsidy Programme
HOD	Head of Department
IRDP	Integrated Residential Development Programme
MPAT	Management Performance Assessment Tool
MTEC	Medium-term Expenditure Committee
MTEF	Medium-term Expenditure Framework
MTEF	Medium-term Expenditure Framework
NEPF	National Evaluation Policy Framework
NES	National Evaluation System
NO	National Outcome
PEP	Provincial Evaluation Plan
PES	Provincial Evaluation System
PSG	Provincial Strategic Goal
PSP	Provincial Strategic Plan
PT	Provincial Treasury
PWDG	Province-wide Data Governance
PWMES	Province-wide Monitoring and Evaluation System
RBME	Results-based Monitoring and Evaluation
SAMEA	South African Monitoring and Evaluation Association
SRM	Sustainable Resource Management
VOPEs	Voluntary Organisations for Professional Evaluations
WCDOA	Western Cape Department of Agriculture
WCG	Western Cape Government
WCG PEP	Western Cape Government Provincial Evaluation Plan

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1. INTRODUCTION AND CONTEXT OF EVALUATIONS

'Policy makers must have good information on which to base their decisions on improving the viability and effectiveness of government programmes and policies.'³

Commission on Evidence-Based Policy Making, 2017

Since 2012, the WCG has institutionalised the National Evaluation Policy Framework (NEPF) at a provincial level, and is now conducting quality evaluations to improve government's effectiveness, efficiency and impact to ultimately enhance service delivery. Described as an "early adopter", an "innovator" and a "provincial pioneer" in the recent evaluation of the National Evaluation System (NES)⁴, the WCG has a proven track record of conducting and utilising evaluation evidence to improve their interventions and ultimately to improve development outcomes and service delivery. Over the past six years of institutionalisation, two Provincial Evaluation Plans (PEPs) have been implemented and this is the first year of the third PEP.

Many lessons have been learnt over this initial period and the WCG is using these lessons as an opportunity to learn, strengthen and develop the system going forward.

The guideline to linking evaluations to the planning and budget cycle has placed a renewed emphasis on an integrative approach, and directs a standardised approach for all departments on how to evaluate their programmes with efficiency and for maximum benefit.

The development of the PES has reached a level of maturity whereby a number of departments are implementing with relative autonomy. These departments have strong advocates and champions for evaluation in conjunction with buy-in from senior managers who value the benefits of evaluation.

Efforts have been made to align the data management initiatives of the Province-wide Monitoring and Evaluation System (PWMEs) through profiling evaluations and sharing evaluation information on the WCG Business Intelligence site or Bizbrain. Current and historical evaluation information and evidence are housed in the evaluation hub, which is accessible to all WCG officials. In this way, the WCG is being responsive to the emerging trend to improve data and information as a public good, so that WCG evaluation evidence is managed in a coherent way and is relevant, reliable and accessible for better planning⁵.

The WCG shares its story of the institutionalisation and further strengthening of the PES through its engagements with the National Evaluation Technical Working Group (NETWG) and the National Planning, Monitoring and Evaluation Forum. Through these cross-government platforms, the WCG is presented with the opportunity to consistently contribute to, and report on, its learnings to the rest of the provinces within South Africa as well as garner further national knowledge. The Provincial Evaluation Technical Working Group (ETWG) continues to flourish, providing a forum to promote the use, advocacy and importance of evaluations, with a special focus on capacity building. This working group enforces the importance of evaluations for development outcomes through bringing WCG evaluation stakeholders together: to support, network, learn and share.

³ Commission on Evidence-Based Policy Making Report, American Evaluation Association, November 2017

⁴ Genesis, 2018

⁵ Strengthening the Provincial Evaluation System Through the Development of Profiling Standards for Better Understanding and Access to the Evaluations Conducted – A Western Cape Case Study, Ishmail et al SAMEA 2017

The WCG contributes to the international evaluation community through participation in various Voluntary Organisations for Professional Evaluations (VOPES) and has recently been accepted as a member of the International Initiative for Impact evaluation (3ie). Reaffirming this commitment, the WCG takes the opportunity to tell their story through presenting papers at national and international conferences. Most recently, the Department of the Premier presented on the theme 'Building organisational capacity for using evidence' at the Global Evidence Implementation Summit in Melbourne, Australia⁶.

The Western Cape was selected, based on a predefined criterion, as a provincial case study for the evaluation of the NES ⁷. The lessons drawn from this journey have provided an understanding as to how national and sub-national evaluation systems are currently institutionalised, and how they can be strengthened within the context of the NES. The findings of the NES evaluation have assisted the WCG to gauge their progress within the national context and to utilise the findings to strengthen the PES and to take evaluations in the province to the next level, as is the focus of this PEP.

⁶ Institutionalising evidence through the South African National Evaluation System (NES) findings from an evaluation. Presented by Z Ishmail, GEIS 2018. DotP.

⁷ Genesis Analytics, 2017, 'Evaluation of the NES - Provisional Results', paper presented at DPME National Evaluation Seminar, Pretoria, June 2017.

2. CONTEXT OF THE PROVINCIAL EVALUATION PLAN

The PEP is a strategic document for setting the direction relating to evaluations to be conducted within the WCG departments. In 2018, the annual call for evaluations was incorporated into the Director-General's Circular on Annual Performance Plans (APPs) for 2019/2020. The annual call for evaluations was also incorporated into the Provincial Treasury Budget Circular on Budget Planning, and was issued via the Medium-Term Expenditure Committee (MTEC) process. For the first time, an evaluation circular was also issued. The call for evaluations and commencement of the evaluation cycle for 2019/2020 were formally launched through the provincial Evaluation Technical Working Group (ETWG) on 16 August 2018.

Departments responded to the call by submitting evaluation concept notes for key policies, programmes and projects to be evaluated. Technical editing and feedback workshops were conducted with implementing departments to provide guidance and expertise on evaluation content relating to the type of evaluations, key research questions to be answered, scope, and methodology. These processes served to provide input towards the final draft concept notes to be included in this PEP.

The WCG successfully conducted 23 evaluations in the first round of the three-year rolling PEP – 2013/2014 to 2015/2016. The findings and recommendations from these evaluations are being used to improve performance and accountability through the implementation of tailor-made improvement plans for the completed evaluations.

The second three-year rolling PEP covered the period 2016/2017 to 2018/2019 and consisted of 29 evaluations; including six evaluations on strategic interventions that received funding from Provincial Treasury.

To date, 33 reports have been completed and 20 improvement plans are in place and being tracked. The remaining evaluations are at various stages of implementation. In terms of the type of evaluations, the WCG has implemented five out of the six types of evaluations as advocated within the NEPF⁸.

This PEP will commence in the 2019/2020 financial year. The purpose of this plan is to provide details of the approved evaluations that serve as strategic and priority evaluations identified by implementing departments, to be undertaken during this period. A total of six key evaluations have been agreed upon as provincial priorities. All six have been initiated and identified by their respective departments. The plan also contains, for the second time, two evaluations that will be conducted on strategic interventions for which funding has specifically been earmarked by Provincial Treasury. The selection of these evaluations demonstrates agreement by the WCG Heads of Department (HOD) and Provincial Treasury respectively that the evaluation topics covered by this plan are important in that they are strategic and in line with key provincial priorities and set criteria.

The criteria used for the selection of departmental evaluations to be included in this PEP remain in line with the NEPF. The WCG has placed a priority on evaluations of existing interventions that:

- a. are a provincial priority;

⁸ The exception being a Synthesis Evaluation; discussions are underway for the future incorporation of this type. It is envisaged that the MOU and membership with 3ie will provide support for this purpose.

- b. are innovative;
- c. signify a keen public interest;
- d. have not been evaluated recently;
- e. are at a critical stage, where decisions need to be taken for which an evaluation is required in order to provide the necessary data and information;
- f. have monitoring data and/or spatial information in order to inform the evaluation process; and
- g. have a potential budget for evaluation.

The provincial guideline that sets out the specification and criteria for departments that wish to apply for Provincial Treasury funding for evaluations notes the following criteria to be applied:

A proposed evaluation must be:

- a. a policy priority – strategic and transversal intervention linked to the PSGs and the NOs;
- b. a budget policy priority – key policy allocations provided in current and previous Medium-term Expenditure Frameworks (MTEFs);
- c. innovative – signify areas where it is important to improve and learn, ultimately changing the lives of the people;
- d. a design, implementation or impact evaluation; and
- e. be linked to a budget priority of the department or a large budget programme.

All concept notes that applied for strategic funding were assessed by the Provincial Evaluation Steering Committee (PESC), utilising the above criteria.

Within the period of this plan there are four out of the 13 WCG departments serving as implementing departments, namely: The Department of Transport and Public Works (DTPW), the Western Cape Department of Agriculture (WCDoA), the Department of Human Settlements (DHS) and the Department of Social Development (DSD). This plan contains four implementation and two design evaluations. A few of these evaluations have elements of up to three types of evaluations within their approach. In terms of alignment to the Provincial Strategic Goals (PSGs), three of these evaluations are mainly focused or linked to PSG 1; one to PSG 2; and two to PSG 4. Some of the evaluations have strategic and contextual relevance across more than one PSG.

3. PROVINCIAL EVALUATION PLAN 2019/2020

SUMMARY OF EVALUATIONS FOR WESTERN CAPE GOVERNMENT

The table below demonstrates a classified summary of the four departmental evaluations and the two strategic interventions linked to the PSGs, culminating in six evaluations that will be rolled out during the 2019/2020 financial year and first year of the third, three-year rolling PEP.

Title of evaluation	Implementing department	Type of evaluation	Strategic link	Type of monitoring data
DEPARTMENTAL EVALUATIONS				
An evaluation of the Provincial Sustainable Transport Programme	Department of Transport and Public Works	Design/ implementation	PSG 1 PSG 4	Annual reports Quarterly performance reports Progress reports Project progress reports
An evaluation of the design, implementation, economic value and impact of the Programme: Sustainable Resource Management	Department of Agriculture	Design, economic and implementation	PSG 1 PSG 2 PSG 3 PSG 4 PSG 5	The evaluation of the LandCare Programme will provide information on the relevance of 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 data sources are of good quality. Historical data of volumes of work is available for Land Use Management.
An evaluation on the Finance Linked Individual Subsidy Programme (FLISP)	Department of Human Settlements	Implementation	PSG 4	Data as contained on HSS provide project specific details. This data will be used in conjunction with submitted quarterly performance reports and annual reports for the highlighted period. Therefore, the following data will be used: QPR, Annual Report, BizProjects, HSS.

An evaluation on the Integrated Residential Development Programme (IRDP)	Department of Human Settlements	Implementation	PSG 4	Data as contained on HSS provide project specific details. This data will be used in conjunction with submitted quarterly performance reports and annual reports for the highlighted period. Therefore, the following data will be used: QPR, AR, BizProjects, HSS.
EVALUATIONS ON KEY STRATEGIC INTERVENTIONS TO BE FUNDED THROUGH THE MTEC PROCESS				
An evaluation of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri)	Department of Agriculture	Design, economic and implementation	PSG 1 PSG 4	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. The data and analyses are of good quality and scientifically sound.
An evaluation of the efficacy of Community-based Substance Abuse treatment and Rehabilitation services	Department of Social Development	Implementation	PSG 2 PSG 3	Business proposals, quarterly performance information (non-financial data), monitoring and reporting and quality assurance reports.

Note: Inclusive of the above summary the number of evaluations to be conducted in the current three-year PEP 2019–2022 is six.

3.1 An evaluation of the Provincial Sustainable Transport Programme

Implementing department: Department of Transport and Public Works

Background and context of the intervention

The Provincial Sustainable Transport Programme (PSTP), formerly known as the Provincial Public Transport Institutional Framework (PPTIF), was initiated by the Department of Transport and Public Works (DTPW) to support the development and implementation of sustainable transport systems which facilitate equitable and safe access to opportunities; are affordable; support a vibrant economy and inclusive growth; and limit environmental impact.

Within this broader definition, the PSTP especially recognises and prioritises improvement of access for poor and marginalised communities, seeking to enhance economic and socially-inclusive development. Non-motorised Transport (NMT) projects were initiated in Stellenbosch Municipality in response to the PSTP Stage 1 Plan for Stellenbosch Municipality that was finalised in March 2017.

Work to develop a PSTP Stage 1 Plan in the Overstrand Municipality has also been completed in March 2018.

Importance of the intervention for evaluation

NMT (incorporating both walking and cycling) is the most accessible mobility option and is often used in conjunction with other modes on a single trip. Being an important mode across the region, populations in the non-metro areas of the province are particularly reliant on this mode; with 35% of people walking to work (vs only 8% in the City of Cape Town) (NHTS 2013). However, while both affordable and sustainable, there are major obstacles facing users of NMT in the Western Cape.

Firstly, due to a lack of focused investment, existing NMT infrastructure is often either non-existent or poorly maintained, such that users must travel on unsuitable terrain (which is especially limiting for those with physical disabilities and/or the elderly), or risk their safety by sharing road space with motorised vehicles.

Secondly, poorly-lit, unmonitored areas create a personal security risk, especially after dark or at times when routes are not busy. Cyclists also face an increased risk of having their bicycles stolen.

NMT remains the most sustainable transport option and certainly the most affordable mode for most Western Cape commuters. More individuals should be encouraged to use this important mode through the provision of safe, secure and pleasant infrastructure, and easier access to bicycles for longer distance travel.

Purpose of the evaluation

The key focus of the evaluation relates to:

- measuring the implementation of the programme from planning and design to implementation of the projects; and

- assessing the implementation of planned projects from the point of view of the clients, staff and the targeted beneficiaries.

Assessing the factors that influence programme implementation

Unit of analysis for the evaluation

Provincial Sustainable Transport Programme (Previously: Provincial Public Transport Institutional Framework)

Key questions to be addressed for the evaluation

1. Is the programme being implemented as planned? In what ways is it being done differently?
2. How effective is the programme in delivering on its strategic objectives?
3. Is the programme achieving its intended outputs and outcomes?
4. What factors influence the way the programme is implemented?
5. What are the strengths and weaknesses of the programme (from the point of view of staff, clients, experts, beneficiaries)? What enhancements and improvements can be made to the programme going forward?
6. What are the successes and failures of the programme? What is working well and what is not working well?

Principle audience

Policy makers, government officials, public transport users, civil society

Type of evaluation

Implementation evaluation

Timing and duration

Four months

3.2 An evaluation of the design, implementation, economic value and impact of the Programme: Sustainable Resource Management

Implementing department: Department of Agriculture

Background and context of the intervention

The Programme: SRM delivers a support service to all farmers in the province. The major emphasis is to maintain and improve current natural resources through the 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 the Programme to remain innovative.

The purpose of the four sub-programmes is as follows: Engineering Services; LandCare services; Land Use Management; and Disaster Risk Management.

Importance of the intervention for evaluation

Agriculture is an essential contributor to 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 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 these resources.

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: SRM is uniquely positioned to make a critical contribution towards these goals.

Purpose of the evaluation

The evaluation should identify constraints that compromise or limit the ability of the programme to effectively deliver on its mandate and propose interventions that could improve the programme's delivery.

Unit of analysis for the evaluation

Programme level: Sustainable Resource Management (SRM), including all four sub-programmes.

Key questions to be addressed for the evaluation

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?

Principle audience

Policy makers, government officials, civil society

Type of evaluation

The evaluation will include design, implementation, impact and economic evaluation elements.

Timing and duration

Eight months

3.3 An evaluation of the Finance Linked Individual Subsidy Programme (FLISP)

Implementing department: Department of Human Settlements

Background and context of the intervention

The FLISP provides beneficiaries with access to state assistance where qualifying households wish to acquire an existing house on a vacant service stand linked to a building contract. FLISP is currently available to beneficiaries that earn between R3 501 – R22 000.

Importance of the intervention for evaluation

FLISP serves the middle-income bracket, known as the gap market, and considerable news coverage has been received regarding the lack of housing opportunities for this market.

Purpose of the evaluation

The purpose of the evaluation is to determine the strengths and weaknesses of the programme and to identify solutions to any possible obstacles.

Unit of analysis for the evaluation

Programme level: Finance Linked Individual Subsidy Programme (FLISP)

Key questions to be addressed for the evaluation

1. What are the strengths and weaknesses of the Programme?
2. How can obstacles be overcome?
3. How might the Programme be implemented differently?
4. How could the achievement of outputs be maximised?
5. Are there ways to maximise the efficiency and sustainability of the Programme?

Principle audience

Policy makers, government officials, civil society

Type of evaluation

Implementation

Timing and duration

Six months

3.4 An evaluation of the Integrated Residential Development Programme (IRDP)

Implementing department: Department of Human Settlements

Background and context of the intervention

The IRDP was introduced to facilitate the development of integrated human settlements in areas that provide convenient access to urban amenities, including places of employment. It provides for the acquisition of land and servicing of sites for a variety of land uses, which includes the provision of residential stands for low, middle and high-income areas. The programme has been designed on the basis of a phased-in implementation approach, which includes the securing of land, the installation of municipal services, and the construction of top structures.

Importance of the intervention for evaluation

This intervention is of importance due to the lack of basic services which has resulted in service delivery protests.

Purpose of the evaluation

The purpose of the evaluation is to determine the strengths and weaknesses of the Programme and to identify solutions to any possible obstacles.

Unit of analysis for the evaluation

Programme level: Integrated Residential Development Programme (IRDP)

Key questions to be addressed for the evaluation

1. What are the strengths and weaknesses of the Programme?
2. How can obstacles be overcome?
3. How might the Programme be implemented differently?
4. How could the achievement of outputs be maximised?
5. Are there ways to maximise the efficiency and sustainability of the Programme?

Principle audience

Policy makers, government officials, civil society

Type of evaluation

Implementation

Timing and duration

Six months

3.5 An evaluation of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri)

Implementing department: Department of Agriculture

Background and context of the intervention

Extreme weather events are threatening food security and economic growth especially in the Western Cape. The province has been identified as one which will be most affected by climate change in South Africa.

In a ground-breaking development, the WCG released the first ever sectoral climate change response strategy for the province. This “Better Together” project was commissioned by the Department of Agriculture (lead department) and the Department of Environmental Affairs and Development Planning; and executed by a team of experts from the African Climate Development Initiative (ACDI).

The development of the Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri) commenced on 1 August 2014 and was completed on the 31 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.

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 that optimises decision-making and ensures sustainability at a local level.

Importance of the intervention for evaluation

Climate change will affect the Western Cape more than any of 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.

Purpose 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.

Unit of analysis for the evaluation

Western Cape Agricultural Sector Climate Change Framework and Implementation Plan (SmartAgri)

Key questions to be addressed for the evaluation

1. To what extent did the SmartAgri plan deliver on its main objectives
2. To what extent did the SmartAgri plan achieve its intended outputs

3. What are the successes and weaknesses in the implementation of the SmartAgri plan
4. How do partners in implementing the SmartAgri plan perceive the relevance and viability of the Plan as a roadmap towards resilience?
5. What are the most promising partnerships and novel or innovative ways of thinking that have emanated from the SmartAgri plan implementation to date?
Is the theory of change of the SmartAgri plan proving viable and suitable for achieving the aims of becoming a climate change resilient sector?

Principle audience

Policy makers, government officials, civil society

Type of evaluation

Diagnostic, implementation and design

Timing and duration

Six months

3.6 An evaluation of the efficacy of Community-based Substance Abuse treatment and Rehabilitation services

Implementing department: Department of Social Development

Background and context of the intervention

The Department of Social Development is the custodian of the Prevention of and Treatment for Substance Abuse Act, Act 70 of 2008. In terms of the Act, the Department of Social Development is responsible for ensuring a range of services across the four levels of intervention (prevention, early intervention, treatment and after care).

In 2010, the Department took a strategic decision to grow community-based services – defined in Act 70 of 2008 as “services provided to persons who abuse or are dependent on substances and to persons affected by substance abuse while remaining within families and communities”. Community-based treatment is considered to be a more cost effective and accessible option as the aim is to render services to the client within the community – as opposed to inpatient treatment where clients live apart from their families for the duration of the treatment.

Community-based treatment services propose a model where treatment can be adapted to accommodate clients who work or attend schools, and their families can be more successfully involved in the treatment programme. The existence of a range of other local community-based treatment options meant that the expansion of community-based programmes made strategic sense since they provided easier access to many more people in need of treatment services.

Importance of the intervention for evaluation

Alcohol and substance abuse affect individuals, families and communities. Poverty, gangsterism, and violence against women and children are exacerbated by substance abuse and this is prevalent in the Western Cape. More and more people – both youth and adult – and their families are seeking treatment. Politicians are also requiring information on the efficacy of the available treatment options.

Purpose of the evaluation

Fundamentally, the key focus is the extent to which the community-based treatment intervention(s) fulfilled their objectives of providing an accessible and cost-effective treatment model that provides holistic treatment to service users and their families that mitigate the health, social and psychological impact of the abuse.

Unit of analysis for the evaluation

Community-based Substance Abuse treatment and Rehabilitation services

Key questions to be addressed for the evaluation

1. Develop the theory of change/logical framework for the substance abuse programme. This should include a set of measurable indicators and possible baseline data – although not a question, it is imperative that this be developed.
2. What are the main factors contributing to the high dropout rates in outpatient treatment?
3. What practices developed by NPOs to mitigate the risk of clients dropping out have proven most effective?
4. What are best ways to determine efficacy and value for money of an outpatient treatment programme; balancing factors such as recidivism, and cost to the State per client? Is the SQM tool able to assist with this?
5. Which of our existing outpatient treatment programmes is providing the best efficacy and best value for money?

Principle audience

Policy makers, government officials, civil society

Type of evaluation

Implementation

Timing and duration

12 months

4. KEY IMPLEMENTING ISSUES

The recent evaluation of the NES (2018) assessed whether its implementation was having an impact on national policies and programmes. Also highlighted, is how the system needs to be strengthened by providing a series of recommendations. The WCG is using the findings and recommendations of the evaluation of the NES to maintain momentum and build on early successes to strengthen the PES. For this reason, the WCG has aligned the key implementing issues to strengthen the PES to four of the key recommendations of the evaluation of the NES.

Recommendation 2: Budgeting for evaluative processes

Recommendation 19: Managing and tracking of evaluations

Recommendation 20 and 21: Strengthening the use of evaluations through communication

An Evaluation of the National Evaluation System, 2018

4.1 Budgeting for evaluative processes - strengthening the linking of evaluations to the planning and budgeting cycle

Following the 2017 initiative to link evaluations directly to the planning and budgeting cycle, a sustained drive must be maintained to ensure a mechanism to integrate evaluation processes into WCG planning and budgeting processes of key strategic priorities.

It is envisaged that this mechanism will also assist departments who have not included evaluations in their planning and budgeting processes in the past; and encourage their participation in future PEPs.

Some departments have been proactive in their approach whilst others are still lagging, and sustained advocacy is required. Senior staff and programme managers need to be upskilled and trained to have a more holistic and strategic view so that they can realise the benefits of integrative evaluation planning and budgeting.⁹

As the province continues to operate in a constrained fiscal environment, it is essential to acknowledge that the cost of evaluations should be considered in line with the utilisation of evaluation results to improve the value of government programmes. The funding opportunity provided by Provincial Treasury for evaluations linked to strategic and budget priorities should be realised and enjoyed.

4.2 Managing and tracking of evaluations - improved focus on management response and evaluation improvement plans

The research portion of an evaluation is considered complete when the report has been approved. Departments may not agree with all the recommendations and findings in the report, however departments have an opportunity to engage with the report and to provide a management response. The key point of the evaluation system is to improve performance through evidence-based decision-making. Once a recommendation has been agreed, departments are expected to draw up an improvement plan of how the recommendations will

⁹ Evaluation of the NES, 2018

be addressed¹⁰. The improvement plans are used to ensure that the evidence is utilised, and improvements are implemented and monitored, with roles and responsibilities, timelines, and budgets attached and approved.

The management response to evaluation findings and recommendations needs to be strengthened, and more champions to drive this evaluation phase need to be identified particularly in departments that have not completed any evaluations in the past or have only embarked on one or two. Encouraging management buy-in is critical to the success of an evaluation and in maximising the value and utilisation of the evaluation evidence produced.

In conjunction with the management response, is the successful crafting and implementation of the improvement plan¹¹. The development, implementation and tracking of improvement plans needs to be addressed to ensure that evaluation evidence gains traction and creates benefit. The improvement plan actions the recommendation of an evaluation.

The Department of the Premier has embarked on capacity building in this regard and has also sought the support and guidance of an external peer reviewer and evaluation expert to assist WCG departments with capacitation and strengthening of this phase. The appointment of a professional evaluator will assist to review and ensure quality standards for the evaluation of six strategic programmes that are currently being implemented. Furthermore, the external expert will help to identify improvement interventions and conduct associated capacity and/or advocacy sessions for learning and improvement.

4.3 Strengthening the use of evaluations through communication - improved communication, understanding and access to evaluation evidence and its use

Communication and utilisation of evaluation findings and recommendations needs to be strengthened. Excellent work in the evaluations arena is being undertaken, however, the utilisation of this evidence needs to be maximised to its full potential. A lesson learnt thus far is that evaluation stakeholders from across all provincial departments require an improved understanding of the evaluations conducted and better access to evaluation evidence for improved use. Evaluation champions, driving a culture of evaluation within their respective departments are key to the success and utilisation of evaluation towards learning and improvement.

Evaluation evidence needs to be clearly communicated and easily accessible. Access to this evidence has been strengthened but this needs to be addressed further. The use of technology in government monitoring and evaluation is a relatively new area and the WCG has approached this through the Biz Systems. Currently, the evaluation tile on Biz Brain houses evaluation reports and supporting documents. It is envisaged that this knowledge hub will be developed further. The clear communication of organised and accessible evaluation evidence that is profiled in accordance with standards will lead to improved data and information

¹⁰ How to develop an Improvement Plan to Address Evaluation Recommendations (2014) DPME Guideline 2.2.6

¹¹ This is a recommendation and improvement objective from the evaluation of the NES, 2017

coordination. Ultimately, this leads to better evidence for decision making and improved development outcomes and service delivery.

4.4 Managing the Provincial Evaluation Plan (PEP)

This plan will be managed through quarterly engagements with the ETWG via a structured agenda. Engagements, when required, will take place with implementing departments to guide on progress relating to the evaluations being conducted; as well as an annual reflection to review the evaluation processes.

Continuous updating of the various evaluations' progress will also be submitted to DPME on a quarterly basis. An annual evaluation update will be delivered that provides a review of the actual achievements; both in terms of the PES and the implementation of provincial evaluations¹². As part of the process, ongoing capacity building will be provided throughout the implementation and duration of the evaluations where relevant and formal training opportunities will be provided and coordinated by the Department of the Premier, in conjunction with the Provincial Training Institute (PTI), the National School of Governance (NSG) and DPME.

Capacity development and the upskilling of officials on understanding, commissioning and managing evaluations, is considered an ongoing implementation challenge and remains a priority in terms of the WCG provincial evaluation system.

¹² Evaluation update no.6 will be produced in June 2019

6. THE WAY FORWARD

As we commence our seventh year of implementation, the WCG is committed to building on lessons learnt to date as we strive to strengthen and improve the PES.

This Provincial Evaluation Plan, to be implemented during the 2019/2020 financial year, will be communicated via the public domain upon its finalisation. Terms of reference for each evaluation contained within will be compiled by departments in collaboration with DotP. Evaluations will mainly be outsourced, and service providers with the necessary evaluation competencies can apply via the WCG procurement process to conduct these evaluations.

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Western Cape Government: Provincial Evaluation Plan 2019/2020

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