

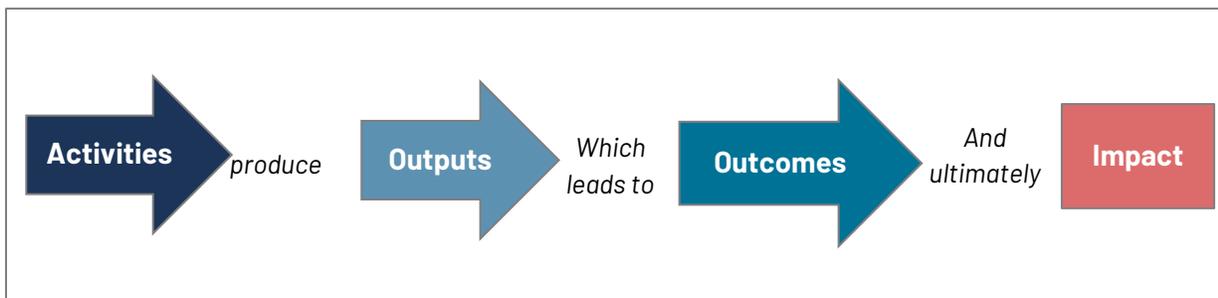
Masterplan for the Commercial Forestry Sector in South Africa: 2020 – 2025

Annexure B: Forestry Monitoring and Evaluation Plan

1. Background

The successful implementation of any plan or strategy is reliant on the ability to continuously track progress. Performance tracking not only ensures that activities are implemented as planned, but also allows for corrective action to be taken timeously.

The logic model approach was utilised to develop the Forestry Masterplan, i.e. ensuring that there is a clear logical link between the actions, deliverables, short term outcomes (also referred to as success statement), focus area objective statement and ultimately the five year goal statement. The figure below demonstrates this logic:



The M&E plan constitutes the final phase in the Forestry Masterplan development. During this phase indicators were developed at the deliverables (output) and outcome level; providing a way forward to monitor *and* evaluate the execution of the plan. The Forestry Implementation plan is a dynamic plan, and should be adjusted as required - for example resource constraints might necessitate a revision of the deliverables, or even the outcomes. Two important points need to be kept in mind when adjusting the Forestry Masterplan:

- Any change to outcomes, deliverables and the accompanying actions will require an amendment to the M&E plan.
- Any change to the success statements or a decision to remove an outcome might impact the achievement of the objectives, and ultimately the goal statement. This is particularly pertinent to Focus Area 1 and 2, which are viewed as the foundation of this Masterplan. Any significant change, in particular to the outcomes in these two focus areas will impact on the investment and job creation imperatives of the Masterplan.

DEFF, as the lead coordinating department, is responsible for ensuring that the M&E plan is implemented. This function is expanded on in section 4.

Monitoring and evaluation are two distinct activities and can be defined as follows:

Monitoring is the continuous, repeated measurement of activities, deliverables and outcomes. Performance monitoring supports successful delivery through consistently tracking that particular standards or targets are being met.

Evaluation is the systematic assessment of the effectiveness of programs on a periodic basis. It is typically undertaken by outside evaluators and can span various domains such as program implementation and service delivery as well as program impact and outcomes.

Monitoring and evaluation requires resources, as well as for systems and processes to be put into place to ensure the required data is collected and reported on.

The Forestry M&E Plan is divided into three sections:

- 1) Monitoring of the Forestry Masterplan
- 2) Evaluation of the Forestry Masterplan
- 3) Supporting systems, processes and capacity to be put in place to give effect to the M&E Plan

The M&E Plan (Annexure B) should be read in conjunction with Annexure C which provides recommendations for a governance structure that supports the reporting and performance monitoring functions.

2. Monitoring of the Forestry Masterplan

Monitoring is a continuous process, and can be undertaken at different levels, and addresses questions such as:

- What is being done?
- By whom?
- Is the activities reaching the target population, when, how much, and how often?
- What resources are being used?

In the case of the Forestry masterplan, monitoring of the following needs to be undertaken:

- i) actions
- ii) deliverables
- iii) outcomes (mainly shorter term outcomes)

The advantage of a comprehensive approach to monitoring is that it provides early warning signs of a breakdown in delivery - by tracking the actions, one is able to timeously identify any challenges or blockages that will affect the achievement of deliverables. Similarly, a non achievement of deliverables will have a knock on effect on the achievement of the outcomes, which will ultimately affect the attainment of the goal statement. Monitoring is typically undertaken by the programme staff, responsible for implementing the deliverables and actions.

2.1. Monitoring of actions, deliverables and outcomes

Annexure x contains the detailed M&E plan. The following is included in the M&E plan:

- **Goal statement level indicators** (also referred to as the Key Performance Indicators): Three indicator categories are being tracked at the goal level:
 - Investment: Rand value of investment as well as jobs created (as contained in the PPGI report compiled by FSA)
 - Inclusivity: five indicators to capture the effective inclusion or participation of black (including community) owned businesses in the productive value of the sector
 - Competitiveness: as measured through the cost of production (primary and processing), the ratio of logistics to total production, the recovery rate (processing) and timber yield for different genres (primary)
- **Objective statements for the various focus areas:** where possible objective statements have been adjusted to meet the SMART criteria (Specific, measurable, achievable, realistic and timely). With some objective statement, the baseline information still needs to be collected as part of the deliverables. Once this has been done, the objectives can also be adjusted to include a measurable target and deadline.
- **Deliverable statements** reflect what needs to be done in support of the various objectives. The high level actions for each deliverable statement are not included in the M&E plan; only in the implementation plan.
- **Detailed outputs/ deliverables:** the output column contains the tangible products or services that are delivered by the various project teams/ stakeholders.
- **Output indicators:** The output indicator column shows how the outputs will be measured.
- **Targets:** where possible a numeric target has been provided; but in the majority of instances the target constitutes a due date.
- **Organisation responsible for submitting the evidence** provides the detail of the government department/ industry association/ industry partner that is responsible for supplying the evidence on the output indicator.
- **Success statements (outcomes)** constitute the results one hopes to achieve. These success statements represent the immediate and medium term changes that should transpire if the deliverables are implemented as planned.
- **Outcome indicators** have been developed for all success statements. Depending on the complexity of the outcome, more than one indicator is sometimes required to fully measure the desired change.
- **Targets:** where possible, outcome targets have been provided. Where no baseline exists no target has been stipulated. It is recommended that targets be set after the first round of data collection.
- **Organisation responsible for submitting the outcome data** provides the detail of the government department/ industry association/ industry partner that is responsible for supplying the evidence on the outcome indicators.

In summary, the M&E plan requires for once off, as well as recurring data collection to be undertaken across the six focus areas. This includes:

- Documentary evidence that signals the completion of **103 outputs** spread mainly over Year 1 and 2 of the plan. The documentary evidence is a once off submission of the required evidence, with several organisations responsible for submitting the required evidence
- Documentary evidence that signals the completion of **12 outcomes** spread mainly over Year 1 and 2 of the plan. This is a once off submission of the required evidence and spans multiple organisations.
- **57 recurring output indicators** for which data collection systems and processes need to be put into place. The data collection for the recurring output indicators are spread amongst the various Forestry sector stakeholders, and have different starting dates (i.e. it does not all commence in Year 1).
- **78 recurring outcome indicators** for which data collection systems and processes need to be put in place, bearing in mind that in some instances these indicators will come from one system. The data collection for the recurring output indicators are spread amongst the various Forestry sector stakeholders, and have different starting dates (i.e. it does not all commence in Year 1). In addition, for some outcomes more than one indicator has been proposed but this can be reduced in consultation with the relevant stakeholders.
- **Twelve KPI level indicators** that measure the four dimensions of the goal statement, namely investment, jobs, inclusivity and competitiveness. In the majority of cases this data is already being collected. However, some of the KPIs will require for existing data systems to be expanded or for more disaggregated data to be collected.

A variety of performance tracking tools can be utilised when monitoring the actions, deliverables and outcomes:

- Utilising a four-tiered assessment framework
- Developing trajectories to track progress along a set trajectory
- Utilising other data visualisation tools such as heat maps

The four-tiered assessment framework is easy to apply, and therefore SEA proposes that this be utilised as the main performance tracking tool. The framework is explained below:

Four-tiered assessment framework key

On track for completion by scheduled due date/ Completed

On track, with minor delays

Off track - will not achieve by scheduled due date. Intervention required

Off track - will not achieve by scheduled due date. Urgent escalation required

Not started



Blank

An extract from Focus area 6, populated with “dummy” information, is utilised to demonstrate the application of the four-tiered assessment framework when tracking the actions. The following can be seen from this extract:

- Some actions have no progress rating - this means the activity has not yet commenced.
- Where a rating is provided, the comment column provides a succinct description of progress. If the activity is delayed in any way (i.e. yellow, orange or red) the comment must indicate the reason for the delay.
- The green rating has a dual meaning: either the activity has been completed or the activity is on track to be completed by the due date. Linking to the M&E plan - a completed activity or deliverable would need to be accompanied by the required evidence. In many instances this constitutes documentary evidence as indicated by the *italicised* font in the M&E plan.

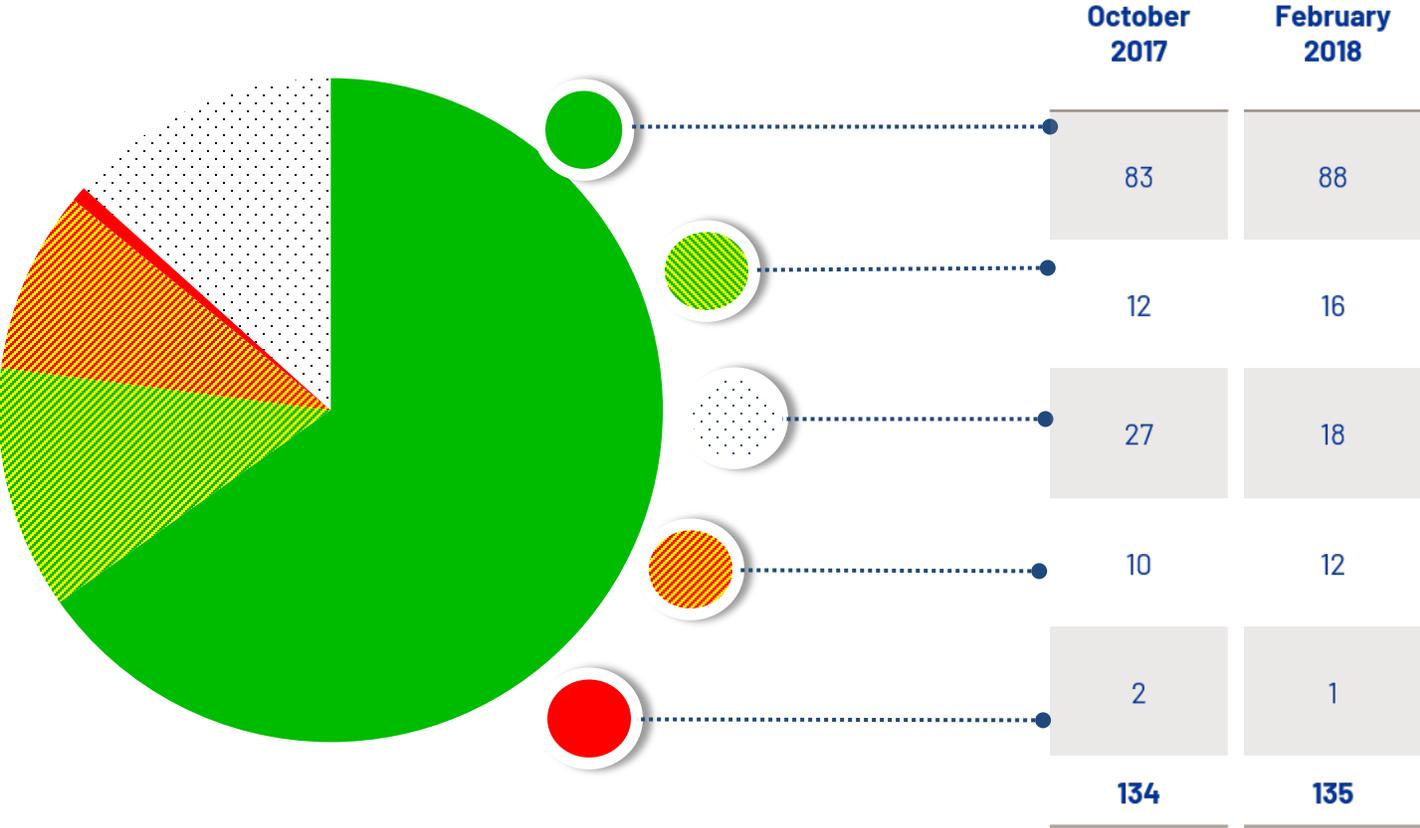
Table 2: Extract to demonstrate application of four-tiered assessment framework

Focus Area 6: Key Inhibitors: To create an enabling environment for the Forestry sector by addressing critical inhibitors related to water, transport and land					
Sub focus area	Action/ Deliverable	Due date	Lead organisation	Progress rating	Comments
Water	Deliverable 1: Licenses amended that were issued between 1998 and 01 April 2020 (PPGI Initiative)				
	i. Request members from industry organisations (i.e. FSA, PAMSA, SSA etc) to send details of water licenses issued in this period	Year 1: July 2020	Forestry SA		Completed, 24 industry organisations submitted details
	ii. Compile first batch of WUL for action by DWS (Submit to DWS July 2020)	Year 1: 30 July 2020	Forestry SA		First batch compiled and sent to DWS

	iii. Amend these WUL (90 days after submission)	Year 1: 31 Oct 2020	DWS		
Genus Exchange	Deliverable 2: Genus Exchange regulations resolved (this also applies to the definition of existing lawful water)				
	i. Once legal dispute and Genus Exchange issues (and definition of lawful water use) are resolved, set the process in place to regularise plantations (pending court case)	Year 1	ForestrySA, DWS		Awaiting outcome of legal dispute
Diesel refund	Deliverable 3: Response obtained on diesel refund				
	i. Obtain response from SARS on the Diesel Refund submission	Year 1	ForestrySA		Even though due date hasn't been reached, no response forthcoming from SARS
Ports	Deliverable 4: Continued monitoring of the performance of the conveyor system through (existing) quarterly industry forums	Year 1 - onwards	Transnet Freight - DBT Technical Manager		Quarter 2 forum delayed. Awaiting new date
	Deliverable 5: Productivity tariff implemented from April 2020 whereby performance of port is linked to the tariff	Year 1 - onwards	Transnet Freight - Operations Manager		
	Deliverable 6: Terminal Tariff cost issues addressed				
	i. Undertake benchmarking of global costs drawing on the study from KZN	Year 1: 30 Sept 2020	FSA Transport Committee		Completed, report distributed
	ii. Conduct new benchmarking exercise of global costs	Year 2: 31 Dec 2021	FSA Transport Committee		Underway, and on track for completion end December

	iii. Undertake negotiations to discuss globally competitive rates	Year 2: 31 Dec 2021	FSA Transport Committee		
	iv. Reach agreement on negotiated costs	Year 2: 31 Dec 2021	FSA Transport Committee		

The advantage of this monitoring mechanism is that one is able to quickly determine a) whether the actions are being implemented as planned and b) which actions require high level intervention and unblocking. Aside from this tabular view - which provides a breakdown at focus area level - one can also aggregate the focus areas' progress and derive at a single view that looks as follows:



The single pie chart can be updated over time, indicating shifts between green, yellow, orange and red items. The ideal scenario is to have more green and yellow items; thereby reflecting the resolution of blockages (orange and red items).

3. Evaluation of the Forestry Masterplan

As mentioned above, *Evaluation* is undertaken on a periodic basis to provide an objective assessment of the effectiveness of programmes. Different types of evaluations can be undertaken during the life cycle of a programme. It is recommended that an implementation (or process) evaluation be undertaken by an outside evaluator, approximately one year after implementation has commenced. An implementation (or process) evaluation assesses whether the programme is being delivered as intended, and is formative in nature (recommendations for improvements are provided). Typical questions covered during a process evaluation include:

- Are the programme activities delivered as planned?
- Are the targeted beneficiaries being reached?
- How much of the activities have been delivered, were any alterations made?
- How does the target group respond to the programme?
- How does the context affect the implementation?
- What are the successes and challenges so far?
- What improvements or changes should be made?

An outcome and impact evaluation should be conducted at the end of the Masterplan period (2026) to establish whether the desired outcomes have been achieved. Outcome evaluations are summative in nature as it renders a judgement on the effectiveness of the project or programme. It provides the key decision makers with credible, unbiased information that can be utilised to motivate for continued funding or as input into key decisions that need to be made.

The monitoring data collected over the term of the Masterplan will feed into the Evaluation activities, but budget should be provided for the Evaluation activities.

4. Systems, processes and capacity in support of the M&E Plan

With the M&E requirements clarified, the next step is to put in place the required systems, processes and capacity in support of the M&E activities, in particular ensuring availability of data on the recurring indicators. The indicators for which documentary evidence is requested are a once off activity and do not require for a system and/or process to be put in place to collect the data. The recurring indicators on the other hand do require a system and/ or process by which the data must be collected.

Step 1: Develop a data Plan

As a first step, it is recommended that a data plan be developed by DEFF as the lead organisation, which provides the following detail as a minimum for all *recurring indicators*:

- Data collection tool/ source of evidence
- Detailed indicator description and calculation (if applicable)
- Frequency of data collection (i.e. monthly, quarterly, annually)
- Organisation responsible for collecting the data
- A list of the data limitations

- Starting data of data collection
- Baseline value of indicator (complete after first data collection of not available)
- Target (where applicable)

Step 2: Put in place data systems and tools

DEFF will need to obtain commitment from every organisation listed in the M&E plan to provide the required data, at the agreed frequency and in the agreed format. The implication of this is that the responsible organisation will then need to put systems and processes in place to ensure the data is collected, and sent to DEFF as agreed in the data plan. The systems and processes will include a consideration of the following:

- Is this existing or new data? If existing, then the data can simply be sent to DEFF as per the agreed frequency
- If new, then the responsible organisation will need to put in place their data collection systems/ tools.

Step 3: Undertake data analysis and evaluation

As a final step, DEFF will receive all the monitoring data, and will be responsible for collating, analysing and reporting the data to the relevant governance structures (see Annexure C for proposed governance structure). This will require data management capabilities, with special attention afforded to data quality aspects. In addition, DEFF will be responsible for commissioning evaluations as suggested in Section 3.

PPGI reporting

Some of the critical KPIs and deliverables in the Forestry Masterplan could be included into the PPGI reporting processes. These high priority deliverables, covers mainly Focus Area 1 and 2:

Focus Area 1

- Deliverable 1: Parcels of land prioritised in terms of readiness to bring into production
- Deliverable 3: Funding secured for project development and project implementation (see focus area 2, blended finance instrument)
- Deliverable 8: Expressions of Interest issued and allocated for B&C and Exit plantations
- Deliverable 12: Land claims finalised

Focus Area 2

- Deliverable 4: A blended finance instrument instituted

As these deliverables are concluded, new priority deliverables could be identified for inclusion in the PPGI processes. This will provide added momentum and support for the high priority projects.

Conclusion

The M&E Plan and the performance tracking of the Forestry Sector Masterplan are dependent on strong data capabilities, financial resources (to commission evaluations) as well as dedicated human resources to manage the overall M&E Plan. Even though several stakeholders will be responsible for ensuring the needed data is collected, DEFF as the lead department must ensure that this data is submitted, collated, analysed and reported on. This places a heavy demand and

DEFF. Depending on DEFF's internal M&E capacity and capability to assist with these M&E activities, DEFF should consider making additional budget available to a) either strengthen the internal performance tracking capabilities and/or appoint a service provider to assist with some of the work. The success of the Forestry Masterplan is highly dependent on a sound M&E system that can provide timely, high quality data, that provides an objective view of the performance of the Forestry Masterplan.