GUIDE TO THE OUTCOMES APPROACH

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"The defining feature of this administration will be that it knows where people live, understands their concerns and responds faster to their needs"

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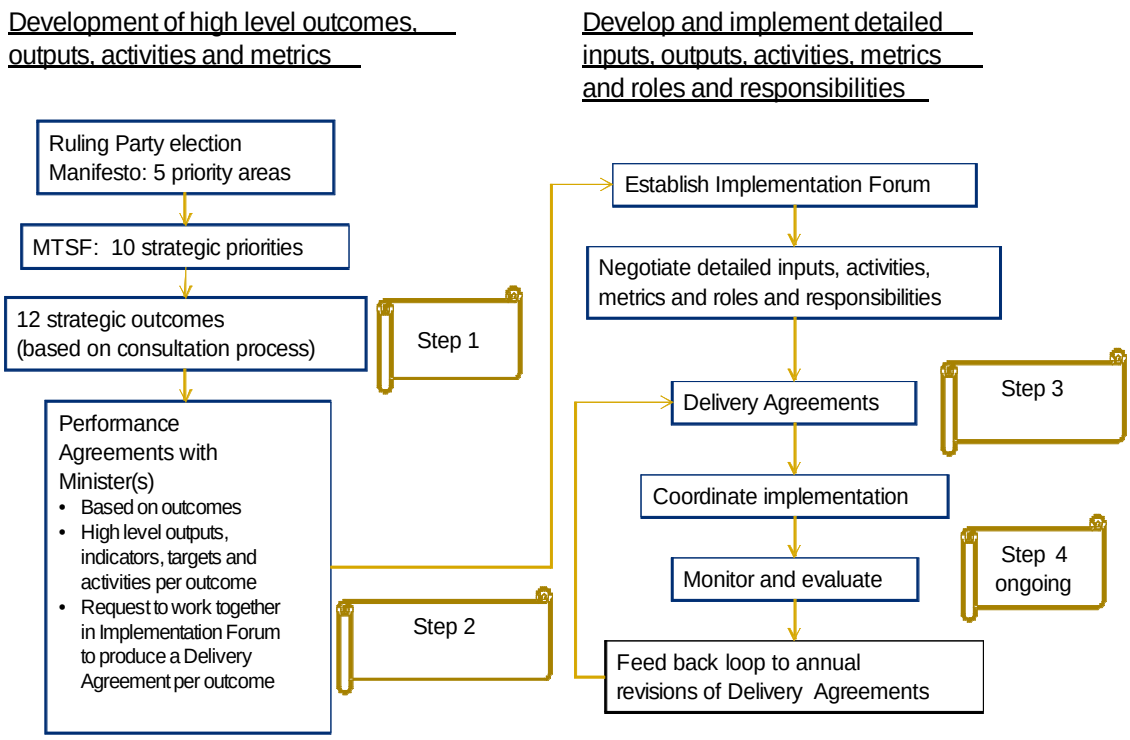
WHAT YOU SHOULD KNOW WHEN YOU HAVE READ THIS GUIDE

This guide describes the government performance monitoring and evaluation system, and the management for outcomes that has been approved by Cabinet. It provides a broad overview of the 12 outcomes that collectively address the main strategic priorities of government. Each outcome has a limited number of measurable outputs and sub outputs as well as clear targets. These outcomes and outputs will be the strategic focus of our work between now and 2014. Based on these outcomes, the President has signed Performance Agreements with each Minister.

This guideline also provides detailed guidance on developing a Delivery Agreement (Appendix 1); and establishing the Implementation Forums that will support the work required for each outcome (Appendix 2).

PROCESS



As indicated in the diagram above, the outcomes approach follows a four step process:

Step 1 involved the adoption of a set of key strategic outcomes with measurable outputs and key activities. The starting point was the Ruling Party's election manifesto, which identified five priority areas, namely decent work and sustainable livelihoods; education; health; rural development, food security and land reform; and the fight against crime and corruption. This was then developed into the MTSF, which identified 10 strategic priorities, which were then further developed into 12 key outcomes, together with draft high-level outputs, key activities and metrics.

Step 2 is performance agreements between the President and Ministers which outline high level outputs, metrics and key activities for each outcome, but in some instances where Departments do not contribute directly to the 12 outcomes, include key outputs from the strategic plans of departments.

Step 3 is converting the high level outputs and metrics into a detailed Delivery Agreement with the key partners that need to work together to achieve the outputs. The negotiated agreement spells out who will do what, by when and with what resources.

Step 4 is the establishment of effective coordination structures that will allow the partners to the Delivery Agreement to work together for the next four years in coordinating implementation of the outcomes, reviewing progress and deciding on interventions when required. The coordinating structures will also carry out monitoring and evaluation of the degree to which the outcomes are being achieved, which will provide a feedback loop to annual reviews of the Delivery Agreements.

2. INTRODUCING THE OUTCOMES APPROACH

2.1. INTRODUCTION

Change is not happening as rapidly and effectively as we require. Despite all the achievements since 1994, significant levels of poverty, unemployment and inequality persist. We have made some progress in many areas of our work. Government has successfully improved access to services and increased its expenditure on service delivery; however, we are still not achieving the outcomes necessary to ensure adequate progress in creating 'a better life for all'. Many of our communities are rightly impatient with the quality, relevance and adequacy of government services and delivery.

This does not simply mean doing more things and spending more money. We have increased expenditure and increased activities steadily since 1994 but this has not always led to us achieving the outcomes we expected. Improving outcomes means doing things differently in order to increase the impact we have on improving the lives of citizens.

The President has noted a number of times that we cannot continue to do the same things in the same way and expect different outcomes. We must carefully think through what needs to be achieved and the best ways of doing this with the resources available. We need to ensure that implementation results in real improvements as expected in the lives of those we are targeting. Given the current state of the global economic situation, we are going to have to do this without marked increases in the budget deficit.

If we are to succeed, we need to plan and do things differently. We need to understand the needs of the people we serve and what the current situation is that they are faced with. We need to learn from our past experience, asking 'What have we been doing that has not delivered the desired outcomes? What is the reason for our limited success and what will improve the results we achieve? How do we understand the problem we are trying to address and are we tackling the causes not just the symptoms? What will we stop doing? What will we do differently? And what new things must we do? What results must be achieved? What activities are needed to achieve the results? Who are the key role-players and what roles must each play?

2.2. THE OUTCOMES APPROACH

The outcomes approach is designed to ensure that government is focused on achieving the expected real improvements in the life of all South Africans. The outcomes approach clarifies what we expect to achieve, how we expect to achieve it and how we will know whether we are

achieving it. It will help spheres of government to ensure that results improve the lives of citizens rather than just carrying out our functions. It will help us track the progress we are making in achieving results and it will help us collect evidence about what worked and what did not, to help us improve our planning and implementation on an annual basis.

Planning for outcomes and impact: Outcomes planning means planning backwards from the outcome we need to achieve to work out how best to achieve it. It starts with identifying what outcome must be achieved to improve lives and then working out what outputs will ensure we achieve it, what activities we must do to achieve the outputs and what resources are needed to achieve the activities.

Focus on outcomes: If the focus in on the outcome, it is clear which role-players will need to be involved to ensure the outcome is achieved. Plans will involve identifying what outputs are needed to achieve the outcome and will be implemented by whichever government entity is responsible for the area of work each output involves. We should be able to connect every resource used and every activity undertaken to a real improvement in people's lives.

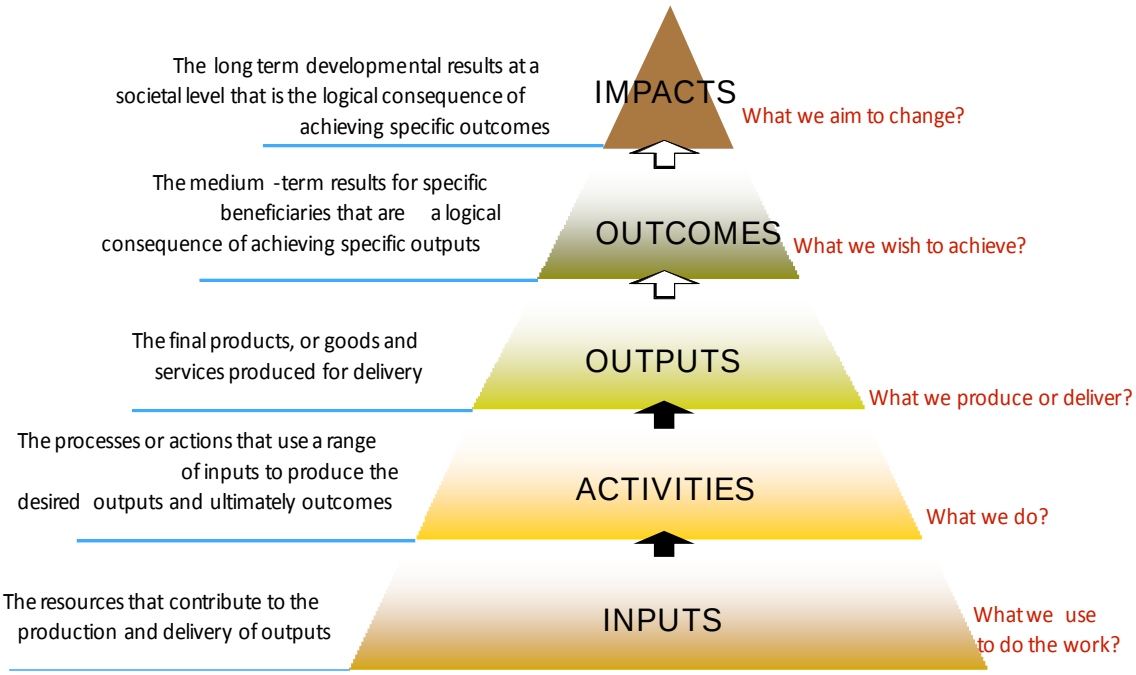
M&E of outcomes creates the basis for accountability and learning. Systematic assessment of what impacts and outcomes were achieved will enable us to identify what works and what does not. It will enable us to learn and continually develop our capacity to use scarce resources more efficiently and effectively to achieve the greatest benefit for the citizens and communities. Clear statements of the outcomes expected and clear indicators, baselines and targets to measure change will ensure we have reliable information we can use to monitor progress, evaluate how successful we were and plan to improve.

2.3. CONCEPTS AND PRINCIPLES

The outcomes approach requires us to think afresh about the logical links between what we do and what we achieve. In the main, the outcomes approach:

- Focuses on results
- Makes explicit and testable the chain of logic in our planning, so we can see the assumptions we make about the resources that are needed
- Links activities to outputs and outcomes and to test what works and what doesn't
- Ensure expectations are as clear and unambiguous as possible
- Provides a clear basis for discussion, debate and negotiation about what should be done and how it should be done
- Enables learning and regularly revising and improving policy, strategy and plans through experience
- Makes co-ordination and alignment easier.

We need to go beyond the work that we do and interrogate the impact that it has. This approach involves management using a logic model which links inputs, activities, outputs, outcomes and impacts. The triangle below demonstrates these links more clearly.



It is useful to standardise the use of the following terms:

Inputs are everything we need to accomplish a task. This could be in terms of finance, human resources, infrastructure etc.

Activities describe a collection of functions (actions, jobs, tasks) that consume inputs and which deliver benefits and impacts. A description of an activity should always contain a verb. For example, provide advice, contract for services, respond to enquiries, etc.

Outputs can be immediate and intermediate, and the description of an output always contains nouns. These are the direct products and services generated through processes or activities

without specific reference to their ultimate purpose. For example, **'advice and direction', 'service providers obtained' and 'work initiated'.**

Outcomes refer to a changed state of being and are stated in the present tense. They describe the effects, benefits or consequences that occur due to the outputs of programs, processes or activities. The realisation of the outcome has a time factor and can be in either the medium or long-term.

Four important components in your toolkit

Four important components underpin the outcomes approach.

1. **Problem Analysis:** The first step involves developing a clear understanding of the problem to ensure that the plan is relevant and focused on root causes. If our assumptions about causes and their relationships to effects are explicit, we can test and amend them in later cycles of planning based on our experience and M&E. It is usually important to ensure that the problem is understood from the point of view of the needs and concerns of the intended beneficiaries as well as possible. This will help us ensure that the intervention planned is relevant. Analytical tools such as problem trees can assist with problem analysis.
2. **Theory of Change:** The second step involves developing a clear understanding of the assumptions behind choices about what the key levers of change are and what we should focus our efforts on. This is our 'theory of change' based on the best available knowledge about causes and effects. This also needs to be clearly stated so that we can use evidence from M&E to test it through experience and build reliable knowledge about what works in what circumstances.
3. **Intervention Logic:** A clear statement of the intervention logic – the assumptions about what results must be achieved to achieve the outcome, how they will be achieved and what resources will be necessary. The outcomes approach involves a move away from statements of intention to statements which stress measurable results. This chain of logic will enable us to track progress and test whether the outputs are actually a necessary and sufficient condition to achieve the outcome.
4. **Clear indicators, baselines & targets:** Finally, indicators are identified in order to provide a clear basis for monitoring progress and evaluating results. Ideally, there should be a set of indicators for each level of the outcome triangle. This would allow progress to be checked along the whole chain of delivery. Each indicator should have a clear baseline, and targets and timelines should be clearly defined. Indicators must be measurable.

3. GOVERNMENT PRIORITIES – 12 OUTCOMES

Based on the Election Manifesto and the Medium Term Strategic Framework, a set of 12 outcomes were developed through extensive consultation and discussion at both Ministerial and administrative levels. These outcomes reflect the desired development impacts we seek to achieve, given government's policy priorities. Each outcome is clearly articulated in terms of measurable outputs and key activities to achieve the outputs.

The twelve key outcomes that have been identified and agreed to by Cabinet are:

1. Improved quality of basic education
2. A long and healthy life for all South Africans
3. All people in South Africa are and feel safe
4. Decent employment through inclusive economic growth
5. A skilled and capable workforce to support an inclusive growth path
6. An efficient, competitive and responsive economic infrastructure network
7. Vibrant, equitable and sustainable rural communities with food security for all
8. Sustainable human settlements and improved quality of household life
9. A responsive, accountable, effective and efficient local government system
10. Environmental assets and natural resources that are well protected and continually enhanced
11. Create a better South Africa and contribute to a better and safer Africa and World
12. An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship

These outcomes provide strategic focus and do not cover the whole of government work and activities. This does not mean that the other work of government that is not directly related to outcomes should be neglected.

4. PERFORMANCE AGREEMENTS

The President has indicated that the strategic direction of the country, as encapsulated in the 12 outcomes, is the main aspect of government work that he wants to champion and oversee more directly. The President has signed performance agreements with each one of his Ministers, and these performance agreements focus on the contribution that each Minister will make to the delivery of the 12 outcomes.

4.1. PURPOSE

The primary purpose of the performance agreements is to serve as a management, coordination and learning tool, and not as a punitive mechanism. The President, Ministers and DGs will use these agreements to improve accountability for real outcomes, enable improved coordination and assist in effectively dealing with blockages and problems.

In the case of the Ministers who are coordinating an outcome, their performance agreements are related to the outcome. For Ministers who make a major contribution to a number of outcomes, the performance agreements are based on the high-level outputs and metrics for those outcomes. For Ministers whose contribution to the 12 outcomes is limited, the performance agreements are based on the key outcomes, outputs and metrics in their departments' strategic plans.

4.2. ACCOUNTABILITY – WHO IS INVOLVED?

At this stage, the Performance Agreements will only be between the President and national Ministers (who report directly to him). The President will also enter into Intergovernmental Protocols with Premiers. These protocols will focus on outcome areas that have major intergovernmental implications (e.g. health, basic education, local government and human settlement).

4.3. LEGAL STATUS OF PERFORMANCE AGREEMENTS BETWEEN THE PRESIDENT AND MINISTERS

The Performance Agreements between the President and his Ministers are not legal documents and should not be read as such. They will be a management tool for the President to direct and manage the work of his Ministers. Their primary purpose is not punitive but developmental to focus the attention of his Ministers on the key strategic matters.

4.4. LINKS TO ADMINISTRATIVE PERFORMANCE AGREEMENTS

There should be no contradiction between the Performance Agreements between the President and Ministers and administrative performance agreements in departments, as both need to reflect the 12 outcomes and /or departmental strategic plans.

5. DELIVERY AGREEMENTS

5.1. PURPOSE

The next phase in the process is to compile delivery agreements for each of the 12 outcomes. To attain an outcome, all the key partners that contribute to achieving the outcome for a sector must be involved.

Delivery Agreements are collective agreements that in most cases involve all spheres of government and a range of partners outside of government. Combined, these agreements will reflect government's delivery and implementation plans for its foremost priorities. Delivery Agreements may be thought of as charters.

To produce a Delivery Agreement, all key partners for an outcome need to be brought into the same room to agree on key activities: who needs to do what, by when, and with what resources? The context in which implementation must happen must also be taken into account: the existing legislation, regulations, institutional arrangements, funding and related issues.

To be able to hold people accountable, there needs to be a clear understanding of who is bringing what budget, what additional financing is required, and who provides what human resources. There also needs to be clear timelines. The Delivery Agreement serves as a basis for reaching agreement with multiple agencies that are central to the delivery of the outcome targets.

The Department of Performance Monitoring and Evaluation in the Presidency will be involved in the discussions and negotiations of the Delivery Agreements and provide support. Once the Delivery Agreement is finalised, and the main political principals are in a position to sign, attention could be given to media coverage to publicise the commitments in the Agreement.

Generally, a delivery agreement:

- **Is negotiated between key partners**
  A delivery agreement is a negotiated agreement between the key partners who will work together to deliver on an outcome. The lead coordinating department will provide the leadership and will be assisted by all key role players.
- **Contains detailed and precise description of activities**

The agreement will be detailed and provide precise descriptions of key activities: who needs to do what, by when, and with what resources?

- **Is contextualised**

  It will also take into account the context in which implementation must happen: the existing legislation, regulations, institutional arrangements, funding and related issues.

- **Contains a clear description of the chain of logic for achieving the outcome**

  A Delivery Agreement must describe the logic between inputs, activities, outputs and outcomes. Assumptions must be clear. The analysis and theory of change must be transparent so that they and the chain of logic can be tested and improved - based on evidence. This will help us start to build a more outcomes-orientated and evidence-driven approach to M&E.

- **Is co-ordinated by an Outcome Implementation Forum**

  The Delivery Agreement will be the basis of the work that the Forum will co-ordinate. Flexibility should be applied to the coordinating arrangements. Much of the work will take place outside of the outcome implementation forum – by other structures and task teams.

Blockages to effective delivery may also be legislative or regulatory in nature, or new roles and decision making powers may need to be allocated to specific institutions or new channels or mechanisms for funding to flow. Individual implementing agencies have found it difficult to deal with such obstacles and to make the necessary changes and so delivery is frustrated. We need to identify likely blockages and how best to overcome them in a joint agreement with all partners to ensure we can deliver.

5.2. LEGAL STATUS AND ACCOUNTABILTY

For implementation to succeed, we need forms of cooperation that include those role players directly responsible for actual delivery. Often officials sit as a group of national departments in a cluster debating delivery in the abstract, when the actual experience of delivery is at either provincial or local government level. For instance, the implementation plans for delivering on the upgrading of informal settlements requires that the national departments sit with the relevant provincial departments and local municipalities and negotiate how they will work as a team to deliver. For outcomes involving more than one sphere of government, the Delivery Agreements will have the legal status of Implementation Protocols in terms of the Intergovernmental Relations Framework Act. This would allow, in case of dispute, for the dispute resolution mechanisms as prescribed in the Act to be utilised. For outcomes involving national departments only, the Delivery Agreements will not yet have any legal status. They will

be inter-departmental agreements (a management tool for implementing the outputs related to the outcome).

At national level, Ministers that are signatories to a Delivery Agreement will be held accountable by the President. The Performance Agreements between the President and Ministers will be a mechanism for the President to use in this regard.

In the instance of sub-national government, MECs and Mayors that are signatories to a Delivery Agreement will be held accountable in various ways. There will be public accountability, through making the Delivery Agreements public. This will promote transparency and the active involvement of citizens in governance. In addition, the accountability of sub national government can be managed through political processes.

5.3. STEPS IN PRODUCING A DELIVERY AGREEMENT

Producing a delivery agreement requires a structured and systematic approach. The main steps are outlined below and a set of tasks for achieving each of these steps is outlined in detail in the Guidelines for Developing a Delivery Agreement which forms Appendix 1.

Step 1: The first Implementation Forum meeting: achieve a common understanding of the outcome, outputs and change required. Negotiate roles and responsibilities

Step 2: Partners meet in work teams to develop implementation plans and project schedules for each output

Step 3: The second Implementation Forum meeting: report on output implementation plans and collate the plans into a coherent Delivery Agreement designed to achieve the Outcome

Step 4: Resolve disagreements and disputes

Step 5: Finalise the delivery agreement

Step 6: Implementation Forum adopts the final delivery agreement

5.4. LINKS WITH EXISTING STRATEGIC PLANNING, BUDGETING AND REPORTING REQUIREMENTS

Whilst the initial focus will be introducing the outcomes approach for the set of key strategic national outcomes, over time, the outcomes approach will also be promoted on the rest of government's work. Various existing government policy frameworks, including the Government Wide Monitoring and Evaluation System (GWMES), the Framework for Managing Programme Performance Information (FMPPI), and the DPSA and National Treasury strategic planning guidelines already promote the application of results based management (which is very similar to the outcomes approach) across all government work.

The Presidency, National Treasury, DPSA and COGTA will be aligning strategic planning and individual performance management guidelines to the 12 outcomes. At the time of writing, National Treasury is in the process of reviewing the Treasury Regulation on strategic planning and the related guidelines. These should be issued in a few months time, and will apply to all national and provincial departments. This provides an opportunity to create alignment with the national outcomes. In this regard, the Presidency has requested National Treasury to require departmental strategic plans to include commitments made in Delivery Agreements, where relevant, and to ensure that departmental strategic plans are key inputs into the annual budgeting process at national and provincial level. Departments should produce revised strategic plans next year, to reflect the revised Treasury Regulation and guidelines. This will also provide an opportunity for the outcomes and related Delivery Agreement commitments to be reflected in departmental strategic plans.

Similarly, the Presidency will engage with COGTA regarding the alignment of guidelines for the production of IDPs, so that IDPs also include commitments made in Delivery Agreements, where relevant (in addition to all the other issues to be covered in IDPs). For example, those municipalities participating in the informal settlement upgrading output may make commitments in Delivery Agreements.

The Presidency is also engaging with the DPSA regarding the inclusion of the outcomes and related commitments in Delivery Agreements in guidelines for performance agreements for senior managers.

6. INSTITUTIONAL ARRANGEMENTS – IMPLEMENTATION FORUMS

Implementation Forums coordinate Government's work towards the achievement of the 12 outcomes. Each outcome will be managed by an Implementation Forum, comprising an executive Implementation Forum and a supporting technical (administrative) Forum. This section outlines the mandate of the Forums and principles for their composition, decision-making, information flows and integration with existing Government structures and processes. Appendix 2 provides more detailed guidelines.

While these Guidelines set out a framework for standard institutional arrangements, the principle that applies throughout is that these arrangements only provide the minimum framework which should be common across all Forums in the interest of coordination across outcomes. It is expected that each Forum will develop its own procedures and arrangements on top of this base, depending on the specific circumstances of the sector.

6.1. MANDATE OF THE IMPLEMENTATION FORUMS

The main tasks of the Implementation Forums are to:

- Negotiate a Delivery Agreement for each outcome as set out in the section above and detailed in Appendix 1
- Coordinate the implementation of the Delivery Agreement across spheres and structures of Government over the medium term. This involves
  - Monitoring the achievement of milestones and outputs
  - Reporting on progress to the relevant Cabinet Committee
  - Resolving disputes
  - Identifying and resolving blockages
  - Takinging on board new developments
  - Regularly revising Delivery Agreements on the basis of the results of monitoring and evaluation.

6.2. COMPOSITION OF THE IMPLEMENTATION FORUMS

The exact composition of each Implementation Forum is not prescribed. It is the responsibility of the lead coordinating Minister(s) for each outcome to ensure that all key delivery partners are members of the Implementation Forum.

The Implementation Forums will use existing government structures as an institutional base.

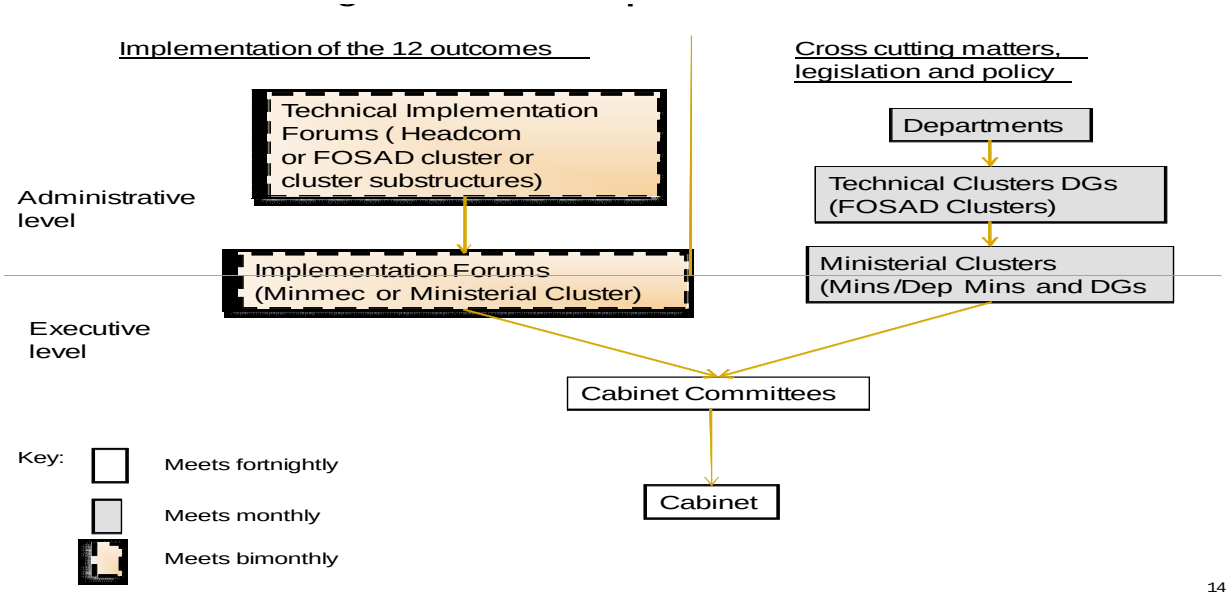
Seven of the twelve outcomes require coordination across spheres of government. For these outcomes the corresponding Minmecs will be the base for the executive Implementation Forums and the corresponding Headcoms (technical Minmecs) the base for the technical Implementation Forums. It is however expected that in most cases it would be necessary for the Implementation Forums to include membership by additional structures of government, including local government.

For all the intergovernmental outcomes the Implementation Forums will have the legal status of an intergovernmental forum and all their agreements will be intergovernmental implementation protocols in terms of the Intergovernmental Relations Framework Act (No 13 of 2005).

The Implementation forums for the remaining five outcomes will be based on the existing FOSAD /Cabinet cluster system. At the technical level the clusters – expanded as required through membership by additional structures – will provide the base for the Technical Implementation Forum. The executive Implementation Forums will be based on the Ministerial Clusters.

6.3. RELATIONSHIP BETWEEN OUTCOME IMPLEMENTATION FORUMS AND EXISTING GOVERNMENT STRUCTURES

The Outcome Implementation Forums are responsible for producing the 12 Delivery Agreements, coordinating implementation, and monitoring and reporting on progress against the 12 outcomes to Cabinet Committees. FOSAD clusters will remain responsible for policy issues. These relationships are illustrated in the diagram below.



6.4. WHO SHOULD BE NOMINATED TO SERVE ON THE IMPLEMENTATION FORUM

The executive Implementation Forum will be attended by the executive authority for a body and their accounting officers and/or relevant delegated senior officials in charge of delivering the outputs stipulated. Local government will be represented by selected executive mayors and senior officials, or by mayors and officials from the specific municipalities involved. It is important that the senior officials accompanying the executive authority to the meeting should remain constant. In addition to the accounting officer, a specific individual must therefore be tasked with this responsibility and duly authorised and an alternate must be nominated to ensure consistent representation.

6.5. WHO CHAIRS THE IMPLEMENTATION FORUM?

The executive Implementation Forum is chaired by the lead coordinating Minister(s) for the outcome, while the technical Implementation Forum is chaired by the Accounting Officer of the lead coordinating department.

6.6. WHAT IS THE ROLE OF PME IN THE IMPLEMENTATION FORUMS?

The Department of Performance Monitoring and Evaluation (PME) in the Presidency will provide support to all the Implementation Forums. PME will allocate a senior outcomes specialist to each Implementation Forum.

6.7. REPORTING ON THE OUTCOMES

The Implementation Forums do not implement the Delivery Agreement activities. The locus of planning and budgeting for, undertaking and managing the activities remains with individual delivery partners, who are therefore the first link in the decision-making and reporting chain. The second link is the technical Implementation Forum, which comprises the senior officials directly involved in implementing the Delivery Agreement. The technical Forum discuses a joint report and agrees on recommendations to the executive Implementation Forum on the content of the progress report, solutions to blockages and when required, adjustments to the Delivery Agreement. The executive Implementation Forum reviews and adopts or adjusts the technical Implementation Forum recommendations and reports to the relevant Cabinet Committee, which in turn submits its recommendations on the Implementation Forum Report to Cabinet. Feedback occurs through-out the chain to direct and coordinate the work of delivery partners.

6.8. SEQUENCING IMPLEMENTATION FORUM MEETINGS

Based on its implementation plan each Forum should determine a meeting schedule at the time of negotiating the Delivery Agreement. This schedule must at the minimum allow the Forum to

report to Cabinet every second month through the relevant Cabinet Committee(s). Appendix 2 provides a diagram which sets out the standard meeting schedule for Forums to feed into Cabinet Committee and Cabinet meetings. Not all partners in the Implementation Forum would necessarily attend every Forum meeting. Some partners might for example join only twice a year, depending on the agreed implementation schedules for each required output.

6.9. STANDARD IMPLEMENTATION FORUM PROCEDURES

The Implementation Forums are meeting-based structures; they do not implement activities themselves. They provide a forum in which delivery partners can report to each other on progress against their mutually agreed milestones, coordinate their activities, resolve blockages and disputes, and take on board new developments. They are also a mechanism to agree on consolidated bimonthly reports by all delivery partners in an outcome to Cabinet. Each Implementation Forum must agree its own ground rules. Standard items on the Forum agenda are:

- Formally adopting the minutes of the previous meeting;
- Report back by individual Delivery Partners;
- Discussion of coordination issues, blockages and resolutions;
- Collection of action points from the meeting and review of forward Implementation schedule.

Appendix 2 provides a diagram setting out the meeting preparation and reporting cycle.

The Implementation Forums make decisions on the content of reports, on actions to be taken by Forum partners to resolve blockages, on adjustments to the agreed schedules and milestones and on more substantive adjustments to the Delivery Agreement. The underlying procedure for decision-making in Implementation Forums is by consensus and all decisions are minuted. Each Implementation forum however has to agree up front a standard approach, process and rules for resolving disagreement and disputes.

The approach to managing the 12 outcomes emphasises the need to react to lessons learnt in implementation and therefore requires mechanisms to adjust the Delivery Agreement. Possible adjustments include adding delivery partners; adding/removing activities; adding/removing outputs; adjusting targets; changing the implementation schedule; changing agreed Forum ground rules.

6.10 STANDARD REPORT INTO AND FROM THE IMPLEMENTATION FORUM

Delivery Partners are required to provide standard reports to the Implementation forums. These reports would include:

1) A completed matrix of activities and milestones
2) A report on spending to date and forward allocations to activities
3) A narrative that highlights the due milestones that were achieved and not achieved and an explanation of non-achievement, as well as progress in activities towards milestones.
4) Blockages and steps taken to resolve blockages, including a discussion of blockages that require intervention by the Forum.

The standard reporting period for Implementation Forums is the two months preceding the start of preparations for the next regular Technical Implementation Forum (see diagram in Appendix 2). Institutions are expected to make the necessary adjustments to their internal monitoring and evaluation systems to provide the data for the PoA and the reports accurately and on time on a regular basis.

Each executive Implementation Forum will prepare reports to its relevant Cabinet Committee(s). This report will mirror reports into the Implementation Forum, but will be at a higher level of detail. In addition – where necessary – they will present adjustments to the implementation schedule and discuss changes to the Delivery Agreement. The documentation flow from the technical to the executive Implementation Forum must include a draft report to the Cabinet Committee(s), based on the preparatory discussions of the technical Forum.

6.11 INTEGRATION OF IMPLEMENTATION FORUMS INTO WIDER GOVERNMENT PROCESSES

Individual institutions planning, programming and budgeting process is the engine that drives the activities towards the milestones and outputs. In this the specific activities required to achieve the change agenda need to be integrated with institutions' sustained agenda and funded from their budgets. It is therefore important that institutions integrate their obligations in terms of the Delivery Agreements into their planning and budget cycle. This includes institutions

- taking their commitments under the Delivery Agreements into account in their strategic and operational plans.
- reprioritizing within their existing institutional envelopes over the medium term to fund the required activities.
- ensuring that the necessary information to report regularly against the Delivery Agreement is collected through its inclusion into institutional performance information frameworks.

If institutions are systematic in planning and budgeting for the required activities and including their reporting obligations within their regular M&E system, they will be in a position to update their data on the PoA database on a regular basis and to provide the required reports into the Implementation Forum Processes.

7 PROGRAMME OF ACTION REPORTING SYSTEM

The PoA reporting system will form the basis of the information flow to Implementation Forums. The PoA is being upgraded and an updated manual on the PoA will be released shortly.

APPENDIX 1 DELIVERY AGREEMENT GUIDELINES

SUMMARY: STEPS IN PRODUCING A DELIVERY AGREEMENT

Producing a delivery agreement requires a structured and systematic approach. We are proposing a series of steps that would be required to produce a delivery agreement and the important tasks that have to be carried out under each step.

Preparatory step: It is important that those leading the process:

a) carry out an analysis of the problems that need to be addressed;
b) clearly understand and are able to present the assumptions behind choices made in regard to the 'theory of change' and the key levers of change;
c) are very clear about the intervention logic; and
d) have a good grasp of possible indicators, present baselines and realistic targets.

These aspects will surface on a number of occasions during the production of the Delivery Agreement.

Steps to Develop the Agreement

Step 1: The first Implementation Forum meeting: achieve a common understanding of the outcome, changes required and how to get there. Allocate responsibility for the further development of each output to task teams

Step 2: Task team meet: Unpack each output and develop implementation plans and project schedules for each output

Step 3: The second Implementation Forum meeting: report on output implementation plans and collate the plans into a coherent Delivery Agreement designed to achieve the Outcome

Step 4: Resolve disagreements and disputes

Step 5: Finalise the delivery agreement

Step 6: Implementation Forum adopts the final delivery agreement

STEP1: FIRST IMPLEMENTATION FORUM MEETING

The most important objective of this meeting is to achieve a common understanding of the outcome, outputs and to negotiate roles and responsibilities.

TASK 1.1: INVITE ALL KEY PARTNERS TO THE FIRST MEETING OF THE IMPLEMENTATION FORUM

Invite all key partners (government and non government) to your first meeting. In government departments, send the invitation to both the political principal and the key official representing each partner.

As part of the invitation, send out:

- these Guidelines for Producing a Delivery Agreement
- your list of outputs with their definitions and implications.

Request each partner to come to the meeting with as much detailed information as possible.

Example of detailed information:

Each municipality should bring a map with its informal settlements, detailed numbers and current budget capacity for upgrading. Each land owner should bring a list of potential land parcels that are well located and could be used for low income or affordable housing..

The first meeting should be for a full day or two. Progress might feel slow in that the problem analysis, theory of change and intervention logic model is being presented and there is likely to be some comment and discussion. However, these are crucial elements in allowing all Implementation Forum members to share the vision and urgency for change.

TASK 1.2: THE FIRST IMPLEMENTATION FORUM MEETING: COMMON UNDERSTANDING

AGENDA

1. Welcome and introductions

2. Ground rules

Agree on what the ground rules are for working as a team to deliver the outputs. In agreeing this, refer to the section on Guideline on Implementation Forum (Appendix 2) which provides a guideline on the minimum procedures which should be agreed up front.

3. Finalise the list of outputs

Ensure a common understanding of the Outcome and discuss the list of output statements with their definitions and the causal logic which has been developed to achieve the output in the preparatory phase. The chain that logically links outcome, outputs and indicators and targets needs to be well understood and there must be agreement on the component parts. The focus is on what 5-6 key strategic outputs will have the biggest impact. It will be wrong to list every little aspect that could possibly contribute.

For some members of the Implementation Forum it might be a repeat, but make sure that all members are on board and the views of all members of the Forum are heard by revisiting for each Outcome the problem analysis, theory of change, the intervention logic and begin discussion on some indicators, baselines & targets.

Make any agreed changes and then adopt the list as the base document for the delivery agreement. Take care that this document is aligned to the requirements of the Minister's Performance Agreement.

4. Set up task groups for each output

Now set up task groups to do this work for each output. Membership of the task groups should follow the principle of who will make a direct, meaningful impact on the achievement of the output.

5. Complete an Output as an example for task groups to follow

Work through one output as an example for task groups to follow. Do, at least, the following:

- A problem analysis that helps to identify and analyse the problem from all perspectives
- Identify alternative interventions and choose the option most likely to achieve the output
- Sub-outputs need to be identified that are a necessary and sufficient condition to achieve the output and contribute effectively to the achievement of the outcome.
- The major activities needed to achieve each sub-output need to be identified.
- The logical chain of results needs to be established.
- Finally, the resources required to achieve each activity need to be identified.

Agree on timeframes for completing the task groups' work, and set the date for the second meeting of your delivery agreement forum.

This concludes the first Implementation Forum meeting.

STEP 2: DEVELOP AN IMPLEMENTATION PLAN AND PROJECT SCHEDULE

After the first Implementation Forum meeting each task group constituted needs to complete the following steps in developing an Implementation Plan and Project Schedule for the output they are working on.

TASK 2.1: UNPACK THE OUTPUT

ANALYSE THE PROBLEM THE OUTPUT WILL ADDRESS

Formulate the core problem your output needs to address. We need to ensure we are targeting the root causes, not just the effects of a problem or situation we want to change.

IDENTIFY & AGREE ON WHAT CHANGES ARE NECESSARY TO ACHIEVE THE OUTPUT

The problem analysis described above can then be used to identify possible ways in which we could impact on the problem or make the change we need. There needs to be agreement on how the results are linked together in a chain of logic and what activities and resources will be needed to achieve the results. The logic of the intervention should show hoe each intervening step results in an improvement that allows the whole problem to be addressed.

However, we know that there are no fail-safe ways of achieving many of the outcomes we want to achieve in government. There are often alternative ways of achieving the outcome and we need to identify the best possible way, not fall back into old habits and assumptions about what will work. It is often useful to clarify our assumptions about what will work so that they can be tested. It is also important to make use of all available evidence about what will work from our own and other's experience. Past experience needs to be assessed and analysed to make sure we are interpreting it correctly and honestly reviewing our past assumptions.

Using all the available knowledge and evidence, we then develop a 'theory of change'. The 'theory of change' helps us decide what the key 'levers of change' are likely to be. You may find that you need to extend or amend the problem tree to demonstrate the actual logic of the theory of change you believe will be most successful in addressing the problem and promoting the change you need in order to achieve the outcome most effectively. The evidence collected as the intervention is implemented will be used to test whether the 'theory' and logic is right & how it can be improved.

IDENTIFY THE INTERVENTIONS REQUIRED TO ACHIEVE THE OUTPUT

Understand clearly how change will be achieved – draw a flow diagram showing the logical relationship. Clearly outline each step and understand the sequence and flow of activities to achieve the outputs and subsequent outcomes. Invite key implementation role players in and outside of government to help you think through these steps.

Example discussion questions:

What does it mean to upgrade 400 000 units? How will you go about it? Build on the work you have already done on developing the causal logic. Break the output up into its component parts. Spend some time getting actual examples of informal settlements and agree on the criteria for selecting units for upgrade – size, ease of implementation, geographic spread, funding availability, capacity to project manage, and so on. Once there is agreement on the selection criteria and some examples, allocate the task of compiling a list of informal settlements targeted for upgrade.

The outline of the logic of the intervention should be clear enough to test whether the logic is adequate. Each level of the planning should be the necessary and sufficient condition to achieve the results in the next level.

It is important to formulate the outcome, output and sub-output statements as the change you want to see happen, not statements of intention.

IDENTIFY INDICATORS, BASELINES AND TARGETS

Key indicators and targets have to be established for each of the results in the logic chain – this will provide a basis for M&E of results. Indicators should provide a clear, unambiguous, adequate and reliable measure of progress and the effectiveness of the results achieved. They should enable you to put clear quantitative and qualitative measures in place so that you can measure how much and how many but also how well. Indicators, baselines (when available) and targets will already be established for the outcome and many indicators will be in place for the output. Check the outcome and output indicators and add any indicators, baselines and targets that you believe are missing but essential. Then, add in indicators, baselines and targets for the sub-outputs you have addedNote that once the indicators are established, the indicator framework can be used as the basis for an information plan: identify what information would be needed to track changes on the indicator, the source of the information, who will collect, analyse & report it, how often, using what formats etc as a basis for co-ordinating and collating reports.

TASK 2.2: EVALUATE THE EXISTING LEGISLATION

Which legislation impacts on the output? Discuss any legislative changes required to achieve the output.

Example legislative changes:

A new land use management Act may be necessary.

TASK 2.3: EVALUATE THE EXISTING REGULATORY FRAMEWORK

Agree on any regulatory changes required to achieve the output.

Example regulatory changes:

Amending regulations if minimum standards are to change.

TASK 2.4: EVALUATE THE EXISTING INSTITUTIONAL ARRANGEMENTS & CAPACITY

This is a crucial task. What changes do you need make to the current institutional structure to deliver this output? Who needs to be empowered to make which decisions if you are to be successful? Which powers may need to be reallocated or delegated? What new institutions may need to be created? Avoid creating new institutions as far as possible because there are big costs in creating effective institutions. What mandate may need to be added or amended to facilitate delivery? What capacity will be required to implement and what is the gap between this and your current capacity?

Example institutional changes:

Accrediting the 27 large municipalities.

TASK 2.5: EVALUATE THE EXISTING FUNDING FRAMEWORK

This task requires you to establish how money can be reallocated, mobilised from other sources and, where necessary, how you can motivate for a new allocation. (Note: The expectation is that only a very small percentage of funding will be able to be raised from new allocations from National Treasury). Use the following questions to guide your work on this task. What is the total budget required? Compile a detailed cost analysis explaining average unit costs for each major item. How much of this will come from reallocating the existing budget (this is likely to be your main source of funding). ? Are there some existing activities that are not value for money and could be dropped to allow for increased spending on new priorities (it is very important when adding new roles and activities to find others that can be dropped and not just to add additional programmes).What real contributions will come from provinces and municipalities?

If there is a budget limitation, what can be done to get initial preparations undertaken e.g. developing models, manuals, training which can support major implementation next year.

TASK 2.6: DEVELOP THE IMPLEMENTATION PROCESS: IDENTIFY ACTIVITIES

Spell the implementation process out in some detail. Detail the main activities required to achieve each sub-objective and allocate roles and responsibilities. Who will play what specific

role to achieve the output? What capacity and skills will be required? How best can you source these?

Example implementation issues:

Which manual for upgrading will be used? Which project management model is most appropriate?

TASK 2.7: IDENTIFY RISKS AND CONSTRAINTS AND MITIGATION STRATEGIES

List the major risks and constraints that may arise in the overall process of delivering this output. Describe in some detail how you would mitigate the risks and overcome the constraints as part of the implementation process. Deal with likely excuses for non-delivery upfront.

TASK 2.8: AGREE ON THE INTERNAL MONITORING SYSTEM

How will the work be monitored and reported on? Agree on the internal system for assessing if you are being successful. Agree on the reporting format for the projects that will be co-ordinated at a central point. Develop indicators and targets for all the levels of work. Do not overburden the work with reporting requirements, but make sure that you are able to track progress and that you will be able to detect blockages timely. Allocate reporting responsibility.

TASK 2.9: CONVERT THE IMPLEMENTATION PLAN INTO A PROJECT SCHEDULE

Provide time lines and resource allocations. This will be a key part of the delivery agreement.

SUMMARY: DEVELOPING AN IMPLEMENTATION PLAN AND PROJECT SCHEDULE

Task 1: Unpack the logic of the output, and develop a detailed understanding of the output and plans required to achieve it

Task 2: Evaluate the existing legislation

Task 3: Evaluate the existing regulatory framework

Task 4: Evaluate the existing institutional arrangements

Task 5: Evaluate the existing funding framework

Task 6: Describe the implementation process

Task 7: Identify risks and constraints and mitigation strategies

Task 8: Agree on the internal monitoring system

Task 9: Convert the implementation plan into a project schedule

The lead department and team should ensure that the work in the focus groups is rigorous and will be completed in time for the second forum meeting.

STEP 3: THE SECOND IMPLEMENTATION FORUM MEETING

TASK 3.1: PRESENT AND DISCUSS THE IMPLEMENTATION PLANS AND PROJECT SCHEDULES FOR EACH OUTPUT

Each of the focus groups presents its work on its particular output, highlighting areas of contention where debate and decisions are needed, followed by detailed discussion. Try to resolve any disputes or disagreements between partners.

TASK 3.2: AGREE AND DOCUMENT A MEETING SCHEDULE WITH PARTNERS

Once all implementation schedules are agreed, the Implementation Forum needs to agree a schedule of forward meetings. The standard required schedule in order to report to the relevant Cabinet Committee(s) and Cabinet on a bi-monthly basis is discussed below: this requires a bi-monthly meeting of the Forum. Individual Forums might require however to meet more often. If that is the case, this should be agreed at this point. In addition, not all partners would necessarily be required at each meeting. When which partners would join also needs to be agreed and documented.

TASK 3.3: DOCUMENT DISAGREEMENTS AND DISPUTES

Identify and list disagreements and disputes for which there is no immediate solution. Record these in detail and ensure that all views are captured.

Examples of issues that cannot be resolved in the meeting might include:

- the extent to which legislation needs to be changed
- the extent and nature of changes to regulations
- which institutional arrangements will work best, including who needs to have which decision rights
- budgets
- the implementation process, including who must make which specific commitments to get the work done.

This concludes the second implementation forum meeting.

STEP 4: RESOLVE DISAGREEMENTS AND DISPUTES

This step is crucial if you are to have an agreement that is both negotiated and agreed. Disagreements and disputes must be resolved by mediation or facilitation.

Choose the best mediator or facilitator for your needs. Consider using:

- an individual who is acknowledged to be an expert in the content area
- an individual who is an acknowledged expert in mediation and process skills
- a team from a few departments made up of people who are not party to the agreement
- the team from the Presidency
- a professional mediation company.

The mediation or facilitation must be managed with a view to a negotiated, agreed conclusion on how best to move forward.

STEP 5: FINALISE THE DELIVERY AGREEMENT

Put together the final DRAFT consolidated agreement comprising the implementation plans and project schedules of all the outputs and circulate this for comment to all partners. Incorporate any changes and produce the FINAL agreement.

STEP 6: THE IMPLEMENTATION FORUM ADOPTS THE FINAL DELIVERY AGREEMENT

In this final meeting, the delivery agreement will be signed.

The meeting cannot take place unless:

- the task groups have finalised the implementation plan and project schedule
- all disagreements and disputes have been resolved
- the final delivery agreement has been produced.

TASK 6.1: INVITE THE FULL IMPLEMENTATION FORUM

All principals and officials that need to be bound by the agreement must be present at the meeting.

TASK 6.2: ADOPT THE DELIVERY AGREEMENT

The department(s) and the people who facilitated the focus groups present the final delivery agreement to the forum. The implementation forum must adopt each section.

TASK 6.3: SIGN THE DELIVERY AGREEMENT

All the principals and officials in the implementation forum sign the agreement in order to formally seal their commitments, roles and responsibilities.

The work begins ….

APPENDIX 2: GUIDELINES ON IMPLEMENTATION FORUMS

1. INTRODUCTION

Implementation Forums are the key structures to coordinate Government's work towards the achievement of the 12 outcomes. These Guidelines clarify the mandate, composition and institutional arrangements for Implementation Forums. They provide guidance to the lead coordinating Minister for each outcome to set up an Implementation Forum and for the Minister and Forums to negotiate a Delivery Agreement and coordinate Government's work towards the relevant outcome. The Guidelines include sections on

- The mandate and composition of the Forums
- The relationship of the Forums to existing government structures
- Who chairs the Forums
- The timeline and sequence of Implementation Forum meetings against the meeting schedule of Cabinet Committees and Cabinet;
- Guidance on the flow of decision-making between coordinating structures,
- Guidance on basic procedures to adopt resolutions, resolve disputes and adjust the Delivery Agreements;
- Guidance on the standard expected information flows between coordinating structures and
- Guidance on the integration of the work of Implementation Forums with the wider programming, budgeting and reporting cycle of Government.

While these Guidelines set out a framework for standard institutional arrangements, the principle that applies throughout is that these arrangements only provides for the minimum framework which should be common across all Forums in the interest of the overall change project. It is expected that each Forum will develop its own procedures and arrangements on top of this base, depending on the specific circumstances of the sector and the specific outputs involved.

2. MANDATE OF THE IMPLEMENTATION FORUMS

An Implementation Forum for each outcome needs to be established, comprising an executive Implementation Forum and a supporting technical (administrative) Implementation Forum.

The work of the Forums is focused on government's change agenda: the Forums allow for improved cooperation towards and a focus on delivery against the 12 priority outcomes. The

Forums' mandate is anchored in the need to coordinate the key processes of results-based management for each objective across government, namely agreeing what needs to be achieved in order to attain shared objectives, by whom, when and how; monitoring and reporting on progress against these commitments; resolving blockages and providing feedback on the original design of the interventions.

The main tasks of the Implementation Forums are to

- Negotiate a Delivery Agreement for each outcome, including evaluating the existing delivery environment for each output specified against its relevant outcome; detailing the key activities to deliver on the output targets; and agreeing specific roles and responsibilities and progress markers.
- Coordinate government's work across spheres and structures of Government over the medium term towards the implementation of the Delivery Agreement. This involves
    - Monitoring the achievement of milestones and outputs
    - Reporting on progress to the relevant Cabinet Committee
    - Resolve disputes
    - Identify and resolve blockages
    - Taking on board new developments
    - Adjusting Delivery Agreements where required

3. COMPOSITION OF THE IMPLEMENTATION FORUMS

These Guidelines do not prescribe the exact composition of each Implementation Forum. *It is the responsibility of the lead coordinating Ministers for each outcome to ensure that all key delivery partners are members of the Implementation Forum*, as indicated in the letters sent to lead coordinating Ministers.

However, the Guidelines do establish the principle that the Implementation Forums must coincide to a maximum extent with existing structures of Government and set out a process for establishing the forums for each outcome.

4. USING EXISTING STRUCTURES AS IMPLEMENTATION FORUMS

4.1 COORDINATING STRUCTURES FOR CONCURRENT FUNCTION OUTCOMES

For the seven outcomes that require activities by partners from two or more spheres of Government the requirement is that lead coordinating Ministers use the corresponding Minmec as a base for the executive Implementation Forum and the corresponding technical Minmec as a base for the technical Implementation Forum. However, in most cases it would be necessary for the Implementation Forum to include membership by additional structures of

government, including local government. In such cases the Implementation Forum would be an expanded Minmec.

Note that in these cases the Implementation Forum would have the legal status of a national intergovernmental forum, all agreements of the Implementation Forum would be intergovernmental implementation protocols and the dispute resolution mechanism stipulated in the Intergovernmental Relations Framework Act, No. 13 of 2005 would apply.

4.2 COORDINATING STRUCTURES FOR EXCLUSIVELY NATIONAL FUNCTION OUTCOMES

The Implementation Forums for the remaining five outcomes will be based on the existing Cabinet cluster and FOSAD system. At the executive level the Implementation Forums will function in a similar way to the Cabinet clusters, constituted in line with the requirements of the outcome. At the technical level the FOSAD clusters – extended by additional relevant Government Structures – will provide the base for the Technical Implementation Forum.

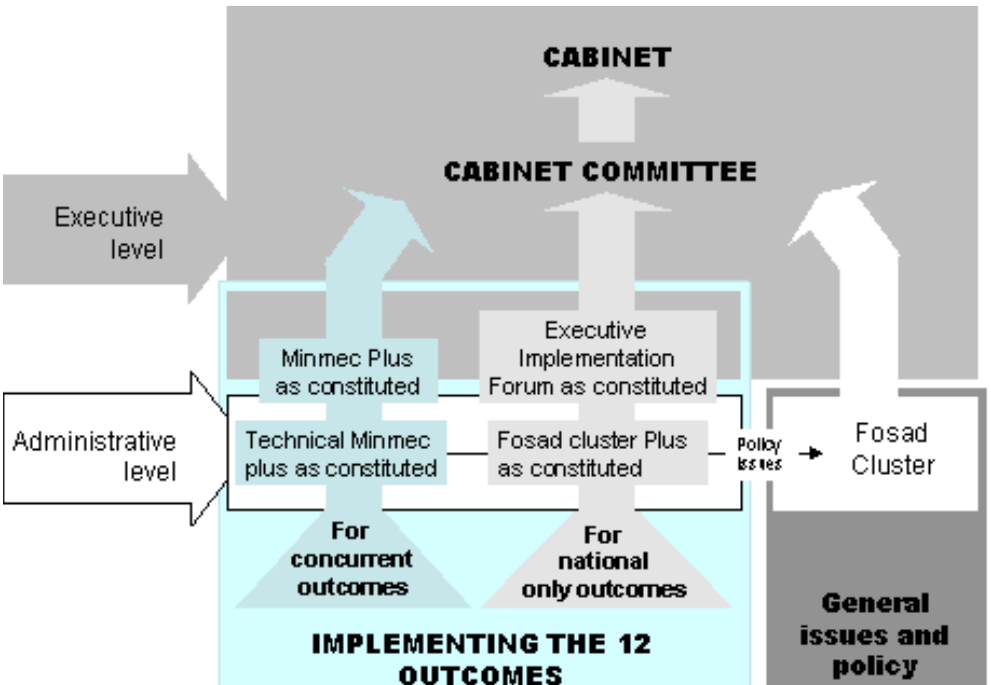
The FOSAD clusters will remain in place and the Implementation Forums will refer policy issues that arise from their work to the FOSAD clusters.

In practice both ministers and accounting officers of relevant institutions participate in Executive Implementation Forum -- although ministers make the decisions -- while senior staff members of relevant government structures only participate in the technical implementation forum. The technical Implementation Forum can be seen to undertake the preparatory work for the executive Implementation Forums.

5. RELATIONSHIP BETWEEN FORUMS AND EXISTING COORDINATING STRUCTURES

The structures and how they relate are illustrated in the diagram below.

Diagram 1 Relationships between Coordination Structures



The principle is that Implementation Forums must coincide with Minmecs and technical implementation forums with technical Minmecs and FOSAD clusters insofar possible. Exactly how existing coordinating structures will map to Implementation Forums and the relationships between structures is a function of the lead coordinating Ministers' decisions on critical implementation partners to achieve an outcome. Table 1: The twelve outcomes and relevant structures.

	Coordinating Structure	**Technical Implementation Forum**	**FOSAD Cluster**	**Implementation Forum**	**Cabinet Committee**
	Level	Administrative	Administrative	Executive and administrative	Executive
	Agenda	Agenda: implementation of outcome	Agenda: General coordination	Agenda: implementation of outcomes	As before, with addition of outcome reports
1	Education	Headcom	Human Development	Minmec	Social Protection and HD
2	Health	Headcom	Human Development	Minmec	Social Protection and HD
3	Security	JCPS Cluster / substructure	JCPS	JCPS	JCPS
4	Employment	Economic Cluster / substructure	Economic	Economic	Economic Sectors and Infrastructure Development
5	Skills	Headcom	Human Development	Minmec	Social / economic
6	Infrastructure	Infrastructure Cluster / substructure	Infrastructure	Infrastructure	Economic Sectors and Infrastructure Development
7	Rural	Headcom	Social Protection / Economic	Expanded Minmec	Social / economic
8	H.Settlements	Headcom	Social Protection	Expanded Minmec	Social Protection and HD
9	Local gov't	Headcom	G&A	Expanded Minmec	G&A
10	Environment	Headcom	Economic / Infrastructure	Expanded Minmec	Economic Sectors and Infrastructure Development
11	International	ICTS Cluster / substructure	ICTS	ICTS	ICTS
12	Public service	G&A Cluster / substructure	G&A	G&A	G&A
	Key:				
	Integration with MINMEC system				
	Continuity with existing cluster system				

-

6. WHO SHOULD BE NOMINATED TO SERVE ON THE IMPLEMENTATION FORUM

For each outcome the Implementation Forum will comprise two sets of meetings, one of the executive Implementation Forum and the second of the technical Implementation Forum. As detailed above the executive Implementation Forum will be attended by

- At the national level Ministers of participating departments and their accounting officers and/or relevant delegated senior official in charge of delivering the outputs stipulated. The participation of the accounting officer in addition to the relevant senior officials would depend on the degree of involvement of the department in the outcome.
- At the provincial level Members of provincial Executives of participating departments and/or their accounting officers or relevant delegated senior official in charge of delivering the outputs stipulated. The participation of the accounting officer in addition to the relevant senior officials would depend on the degree of involvement of the department in the outcome.
- At the local level (an) executive mayor(s) representing local government or the specific local governments involved accompanied by senior municipal officials relevant to delivery of outputs associated with the outcome.
- For other public structures such as public entities, public enterprises and tertiary institutions, the executive officer of the entity or chairperson of a representative body.
- For non-governmental structures, the executive officer of the institution involved of chairperson of a representative body.

It is important for government departments at national and provincial level and for municipalities that the senior officials accompanying the executive authority to the meeting should remain constant. In addition to the accounting officer, a specific individual must therefore be tasked with this responsibility and an alternate must be nominated to ensure consistent representation. If accounting officers of national and provincial departments will not be attending the meetings, authority must be delegated to the attending senior officials to make decisions on behalf of the department.

The technical Implementation Forums will comprise the senior officials nominated to attend executive Implementation Forum meetings with their executive authorities.

The political principal and the key official must both be part of the process of producing the Delivery Agreement.

7. WHO CHAIRS THE IMPLEMENTATION FORUM?

The executive Implementation Forum is chaired by the lead coordinating Minister(s) for the outcome, while the technical Implementation Forum is chaired by the Accounting Officer of the lead coordinating department.

The Presidency Monitoring and Evaluation Ministry (PME) will provide a deputy-chair for all the Implementation Forums, as well as the secretarial support.

8. SEQUENCING DECISION-MAKING BETWEEN COORDINATION STRUCTURES

The main tasks of the Implementation Forums are to monitor progress against the activities and milestones agreed in the implementation plan, to resolve blockages and to report to their relevant Cabinet Committees.

The locus of planning for, undertaking and managing individual activities remains with delivery partners. A first step in the reporting and decision-making chain in the coordination process is therefore individual delivery institutions undertaking and reporting on activities and noting blockages, including blockages in coordinating activities with other coordination partners.

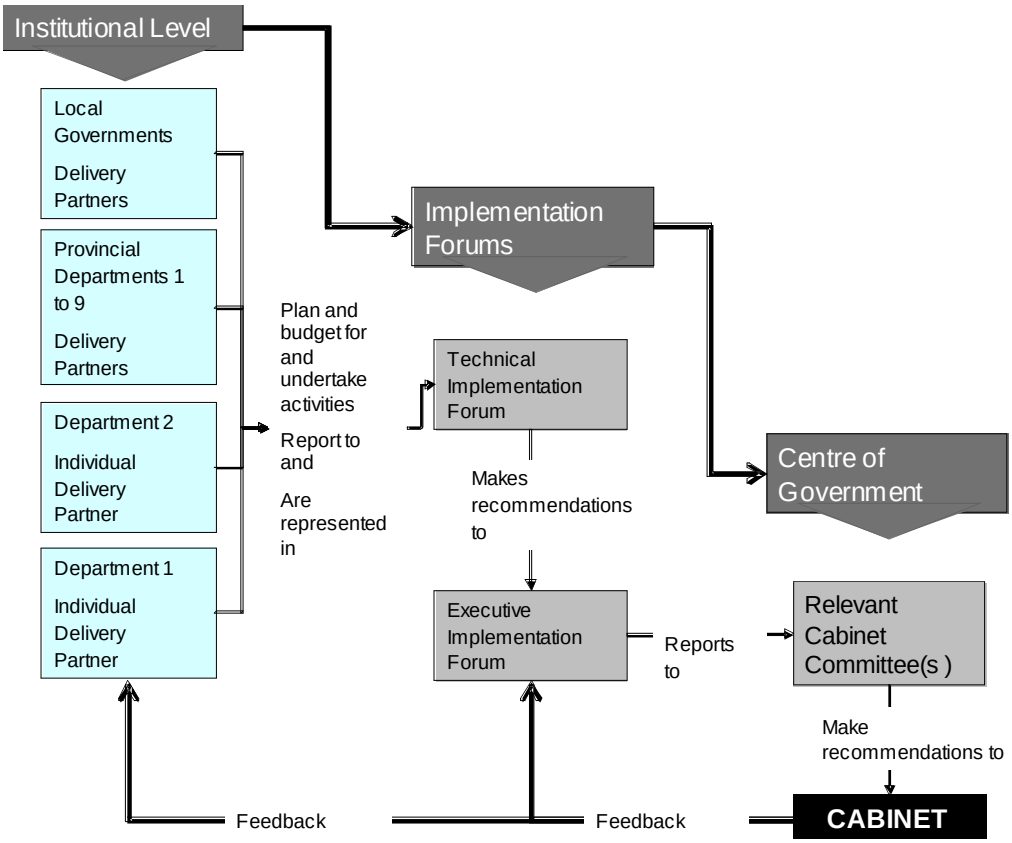
The technical Implementation Forums comprise the senior officials directly involved in implementing the Delivery Agreement. The second step in the decision chain concerning coordinating, monitoring and reporting on the agreed activities of Forum partners occurs at this level. The technical Implementation Forum discusses a joint report and agrees on recommendations to the executive Implementation Forum regarding

- the content of reports,
- recommendations to resolve blockages and,
- when required, recommendations to adjust the Delivery Agreement.

The executive Implementation Forum reviews and adopts or adjusts the recommendations of the technical Implementation Forum and reports to its relevant Cabinet Committee. The Cabinet Committee submits its recommendations to Cabinet regarding the Implementation Forum Report and recommendations. Cabinet in turn reviews the documentation and takes final decisions, which feeds back into Implementation Forum proceedings and delivery partner plans and activities.

The Diagram below sets out this cycle.

Diagram 2: Coordinating decision-making on outcomes

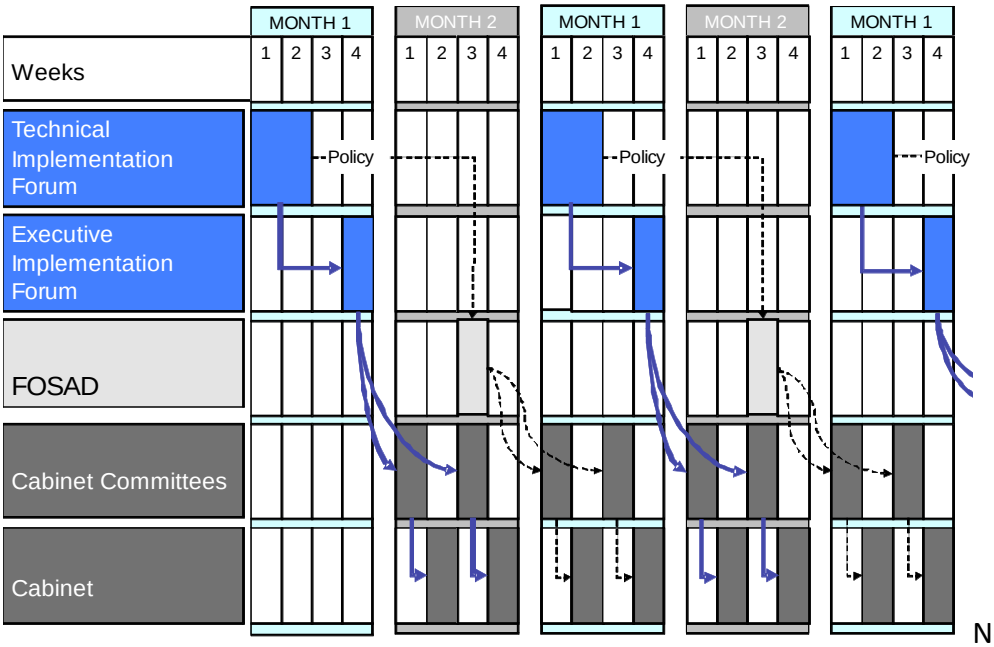


9. SEQUENCING IMPLEMENTATION FORUM MEETINGS

Based on its implementation plan each Forum should determine a meeting schedule at the time of negotiating the Delivery Agreement. This schedule must at the minimum allow the Forum to report to Cabinet every second month through the relevant Cabinet Committee(s). Cabinet Committees and Cabinet meets every second week. The Forum's meeting schedule should be attached to the Delivery Agreement. Individual Forums – particularly the technical Forums -- can meet more often, depending on the Forum's own requirements. The diagram below illustrates how Implementation Forums will feed into the Cabinet cycle. Meetings of the Implementation Forums in month 1 will prepare reports for Cabinet Committee and Cabinet meetings in month 2. FOSAD clusters will meet and their outputs feed into Cabinet Committee meetings in the alternate months.

While individual Implementation Forums can set up their internal meetings as required, it is expected that an executive Implementation Forum meeting will be preceded by a technical Forum meeting. Taking this into account results in the following likely schedule:

Diagram 5: Minimum Implementation Forum meeting schedule



Not all partners in the Implementation Forum would necessarily attend every Forum meeting. Some partners might join for example only twice a year, depending on the agreed implementation schedules for each required output. Which delivery partners will attend which meetings must be set out in the Forum meeting schedule.

10. STANDARD IMPLEMENTATION FORUM PROCEDURES

The Implementation Forums are the executive and technical coordinating structures to achieve the twelve outcomes of Government's change agenda.

They are meeting-based structures: in other words the responsibility for planning, undertaking and managing the individual activities across delivery partners remain with the delivery partners themselves. The Implementation Forums – having agreed a Delivery Agreement and an implementation schedule -- provide an opportunity for delivery partners to report to each other on progress against their mutually agreed milestones, to resolve blockages and disputes, to take on board new developments and to, if necessary, agree adjustments to the original Delivery Agreement. It is also the Forum that will agree a consolidated report on progress towards the outcome to Cabinet once every second month. This section sets out the

procedures by which the Implementation Forum can undertake these tasks through a regular schedule of meetings.

10.1. PME SUPPORT TO THE IMPLEMENTATION FORUMS

The PME will support the Implementation Forums. In order to do this it liaises with the individual delivery partners and particularly with the lead coordinating Minister and team. It also utilises the Programme of Action database, into which all Delivery Partners report on a regular basis.

The responsibilities of the PME are to

- develop the standard report card for each outcome
- assist with the development of agendas for each meeting
- liaise with delivery partners for inputs into meeting documentation
- prepare an update on the outcome's standard report card.

10.2. SETTING MEETING AGENDAS AND PREPARING DOCUMENTATION

The PME lead coordinator for each outcome is responsible for liaising with partners to the delivery agreement to develop an agenda for meetings of the technical and executive Implementation Forums. As set out above the main meetings of the Forums run on a bi-monthly schedule; the agendas for these meetings have a standard base. Additional meetings may be arranged in between the standard bi-monthly meetings, either on a regular basis for a specific Forum or on an ad hoc basis as required by circumstance.

The standard agenda for the regular bi-monthly meetings of the *executive Implementation Forum* is

- *Agenda item 1*: Adoption of previous minutes – this is the formalization of minutes which would have been circulated directly after the previous meeting (see section below on information flows)
- *Agenda item 2*: Report back by individual Delivery Partners
  - Scheduled milestones achieved since previous meeting;
  - Scheduled milestones not achieved and why;
  - Activities undertaken and progress towards milestones scheduled in future;
  - Past spending associated with activities and forward allocations;
  - Key blockages experienced in undertaking activities and actions taken or to be taken to address blockages;
- *Agenda item 3*: Discussion of coordination issues and blockages that require resolution in Implementation Forum

- *Agenda item 4*: Collection of action items from the Implementation Forum meeting and review of Forward Implementation Schedule
- *Agenda item 5*: Agreement of preliminary date for next meeting

The executive Implementation Forum is preceded by a technical Implementation Forum. This Forum will operate with a mirror agenda with the aim to prepare for the executive Implementation Forum.

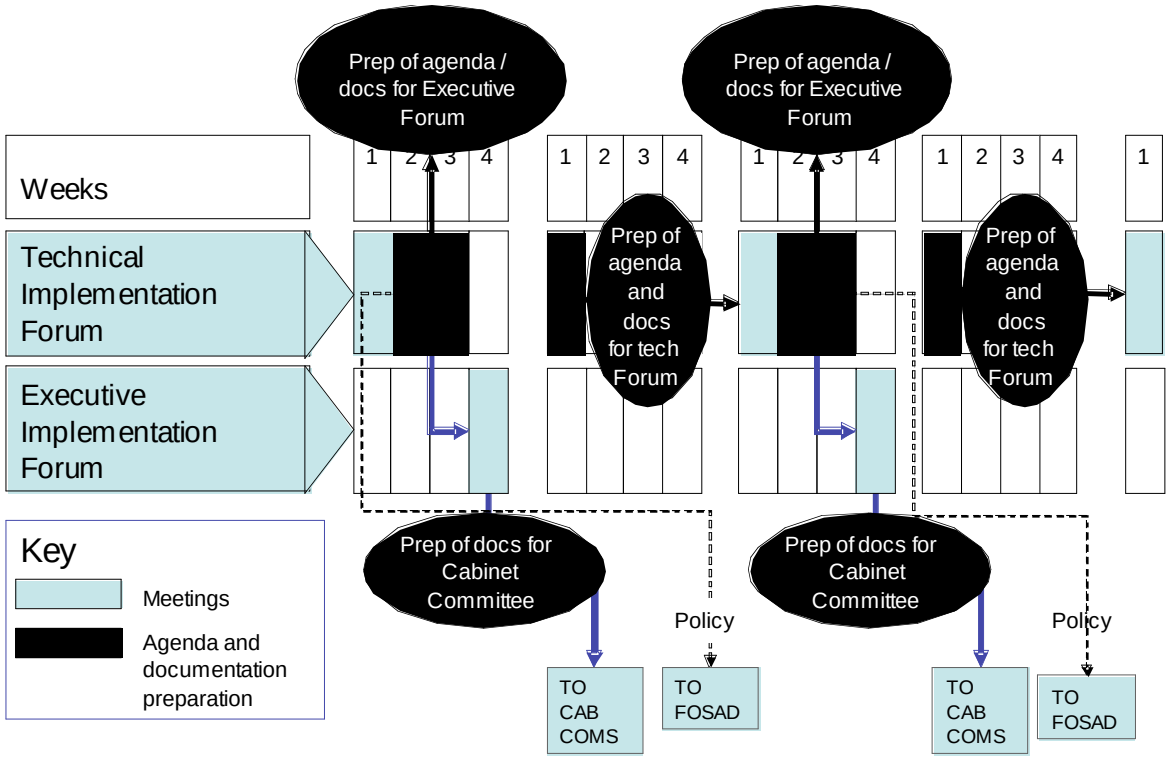
In preparing the agenda for the technical and executive Implementation Forum meetings the lead coordinator for the outcome in the Presidency will liaise with the lead representative from the lead coordinating Ministry on the agenda. Together they will contact each Delivery Partner in the first week of the month preceding the regular bimonthly meeting and

- invite the institution to detail key issues for discussion under Agenda item 3;
- request inputs into the technical Implementation Forum documentation based on the institution's updated data on the PoA database.

The technical Implementation Forum reviews implementation of the Delivery Agreement, discuss blockages, propose actions to resolve the blockages and review the implementation schedule in view of progress to date and the outcomes of the meeting. This allows the PME Secretariat to finalise the agenda and documentation for the executive Forum meeting.

The Diagram below shows the cycle of agenda and documentation preparation against the standard meeting schedule illustrated in Diagram 5 above.

Diagram 4: Scheduling agenda setting and documentation preparation processes



11. STANDARD DECISION PROCEDURES OF IMPLEMENTATION FORUMS

As a standard technical and executive Implementation Forums will be making decisions with regard to

- the content of reports,
- the actions to be taken by Forum partners to resolve blockages,
- adjustment of the implementation schedule,
- more substantive adjustments of the Delivery Agreement (such as adding partners; adding or removing activities; changing Forum ground rules and, where external factors affect delivery, the adjustment of targets).

The following procedures are standard for technical and executive Implementation Forum decisions with regard to all these decisions.

11.1. ADOPTING REPORTS AND RESOLUTIONS

Decisions on report content and recommendations to subsequent meetings are taken by consensus and minuted. The PME Secretariat will prepare the minutes of each regular technical Implementation Forum within a week after the meeting for circulation. Reports will be circulated for comment. Adjustments to the minutes can be requested by Implementation

Forum meetings: a final version of the minutes will be circulated after taking adjustments into account. The minutes thus finalized are adopted by the next meeting of the Forum.

A similar process will be followed for the executive Implementation Forum, except that the Secretariat will circulate minutes in time for finalization before the relevant Cabinet Committee meeting.

The resolution of disputes and adjustments of the Delivery Agreement are minuted as part of technical and executive Implementation Forum meetings. However, the following standard procedures are followed in the Forum to reach decision in these cases.

11.2. ADOPTING REPORTS AND RESOLUTIONS

As part of setting the ground rules, all Implementation Forums must agree a standard process for resolving disputes throughout the lifetime of the Forum. The ground rules should include

- That the Forum will make every reasonable effort to resolve disagreements and disputes without reverting to judicial means;
- That should a delivery partner wish to declare a formal dispute in the Implementation Forum, the partner must do so in writing to the PME Secretariat, the Chair of the relevant executive Implementation Forum and the other Delivery Partners;
- Agreement on a process to determine the precise nature of the disagreement / dispute and the precise issues that are in dispute;
- Agreement on the mediation/facilitation mechanism(s) that will be used by the Forum to resolve disagreements or disputes. Mediation may be through
  - an individual who is acknowledged to be an expert in the content area
  - an individual who is an acknowledged expert in mediation and process skills
  - a team from a few departments made up of people who are not party to the agreement
  - the team from the Presidency
  - a professional mediation company.
- Agreement on the procedure that the Implementation Forum will follow to settle the disagreement or dispute.

11.3. STANDARD PROCEDURES TO ADJUST DELIVERY AGREEMENTS

The Delivery Agreements are considered to be final documents governing the activities of delivery partners towards achievement of outputs and the outcome objective. However, it is expected that oversights and weaknesses in the Agreements will become clear during their implementation and that in some cases the achievement of the outcome will be best served if

the Delivery Agreement is adjusted. The activities will also be implemented in a dynamic environment where circumstances may change, forcing an adjustment in the Agreement. The following are possible adjustment that may be required:

- adding partners;
- adding or removing activities;
- adding or removing outputs;
- changing the implementation schedule;
- changing agreed Implementation Forum ground rules; and
- where external factors affect delivery, the adjustment of targets.

The following rules will be standard across all Implementation Forums regarding the adjusting of agreements.

The possible adjustments to the Delivery Agreement fall in two categories:

- *Category 1*: Changes that will be required frequently and which can be done through the meetings of the Implementation Forum. This mainly concerns the removal or addition of activities, changes in the agreed Implementation Forum ground rules and minor adjustments to the implementation schedule. Minor adjustments to the implementation schedule are adjustments that affect the timing of activities, but not the timing of milestones.
- *Category 2*: Changes that are more substantive and that require review and ratification by the relevant Cabinet Committee. These are the addition of partners and major changes to the Implementation Schedule, ie changes that affect the timing of milestones.

A PROCEDURE FOR CATEGORY 1 CHANGES

Category one changes can be effected through the standard Implementation Forum processes of putting an item on the Forum agenda and agreeing and minuting the change. The Delivery Agreement must be adjusted on a bi-monthly basis to reflect these changes.

A PROCEDURE FOR CATEGORY 2 CHANGES

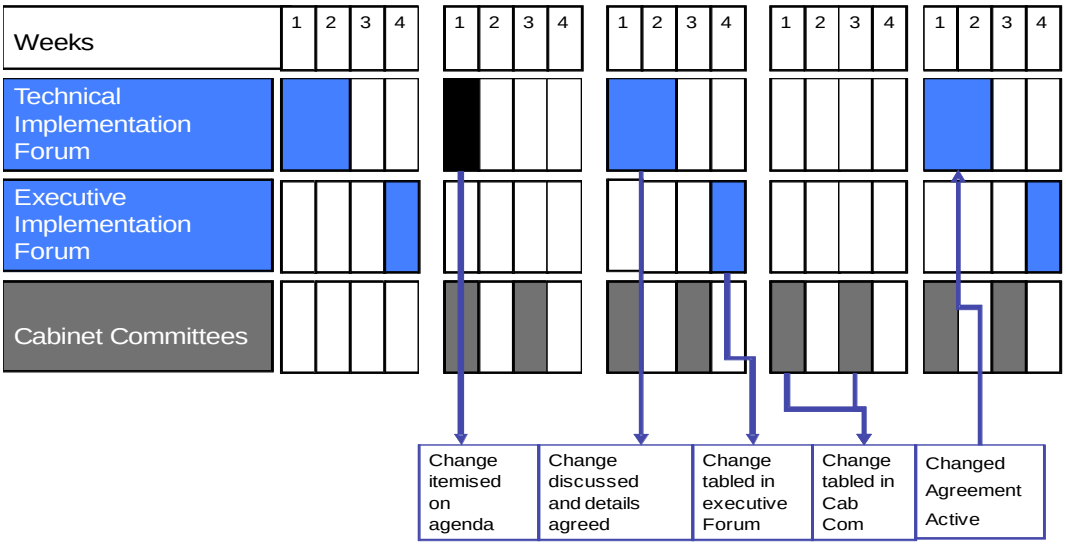
Category two changes can be effected by

1. The lead coordinating Minister requesting the PME Secretariat in writing to put an item on the Implementation Forum Agenda regarding the change.
2. The Implementation Forum agreeing the precise nature of the change and agreeing an adjusted text of the Delivery Agreement.
3. The adjusted Delivery Agreement being tabled as part of the Implementation Forum documentation to the relevant Cabinet Committee.

4. The relevant Cabinet Committee ratifying the change.
5. The new Agreement being activated at the subsequent Implementation Forum cycle of meetings.

This means that the quickest a change can be implemented is over a period of three months from the point of informing the PME Secretariat in writing. The Diagram below illustrates the process:

Diagram 5: A process for Category 2 changes to the Delivery Agreement

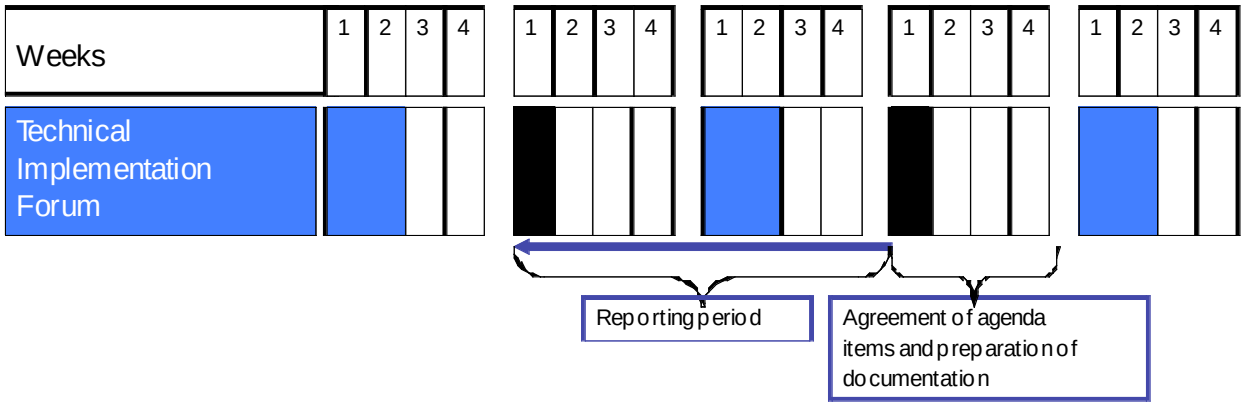


12. STANDARD INFORMATION FLOWS

12.1. STANDARD INPUTS INTO IMPLEMENTATION FORUMS

The standard reporting period for Implementation Forums is the two months preceding the start of preparations for the next regular Technical Implementation Forum meeting. The Diagram below illustrates this:

Diagram 6: Reporting period for regular Implementation Forum meetings



While the institution can update the Implementation Forum verbally on developments between the end of the reporting period and the Implementation Forum meeting, the documentation will be standardized on the two months prior to the start of preparations for Implementation Forum meetings.

INDIVIDUAL INSTITUTIONS

The PoA database provides the functionality for delivery partners to provide up to date data regarding their commitments under the Delivery Agreement. A detailed guide to the PoA database will be developed. The database must be updated at the minimum one month prior to the next technical Implementation Forum meeting, to enable the PME Secretariat, in liaison with the team of the lead coordinating Minister, to compile the agenda and documentation for the technical and executive Implementation Forum meetings.

In addition the PME Secretariat will request specific inputs from the individual institution in order to compile documentation for Agenda Item 3 on the standard agenda. Each institution will prepare a brief report that will include the following:

1) A completed matrix of activities and milestones (see box below)
2) A report on spending to date and forward allocations to activities
3) A narrative that highlights
    a. The due milestones that were achieved
    b. The milestones that were not achieved and an explanation of non-achievement
4) Progress in undertaking activities towards milestones
5) Blockages experiences and steps taken to resolve blockages
6) Blockages that require intervention by the Forum.

Institutions are expected to make the necessary adjustments to their internal monitoring and evaluation systems to provide the data for the PoA and the reports accurately and on time on a regular basis.

THE SECRETARIAT

The Secretariat will develop an outcome-specific scorecard for each Implementation Forum, using a standard approach. In addition to this scorecard the Secretariat will compile the documentation for the Implementation Forum meetings using the inputs by individual institutions. Items for Agenda Items 3, 4 and 5 on the regular agenda will be documented on an ad hoc basis in coordination with affected delivery partners.

12.2 STANDARD OUTPUTS FROM IMPLEMENTATION FORUMS

Each executive Implementation Forum will prepare reports to it relevant Cabinet Committee(s). This report will contain:

1) An updated scorecard for the Outcome
2) A discussion on progress towards each output, detailing the milestones achieved and explaining the milestones not achieved.
3) A discussion on blockages experienced and actions taken on an institutional and Forum-wide basis to resolve blockages.
4) A discussion of funding issues.
5) A discussion of required Category 2 and 3 changes to the Delivery Agreement (if required)
6) A discussion of forward expected milestones and the adjusted Implementation Schedule.

The documentation flow from the technical to the executive Implementation Forum must include a draft report, based on the discussions of the technical Forum.

12.3 PUBLICLY AVAILABLE INFORMATION

Reports on progress towards the agreed outcomes and outputs will be published on a regular basis by the PME, in alignment with making public the outcomes of Cabinet meetings. In addition a consolidated report would be tabled annually in Parliament at the time of the State of the Nation address by the President.

13. INTEGRATION OF THE IMPLEMENTATION FORUMS INTO WIDER GOVERNMENT PROCESSES

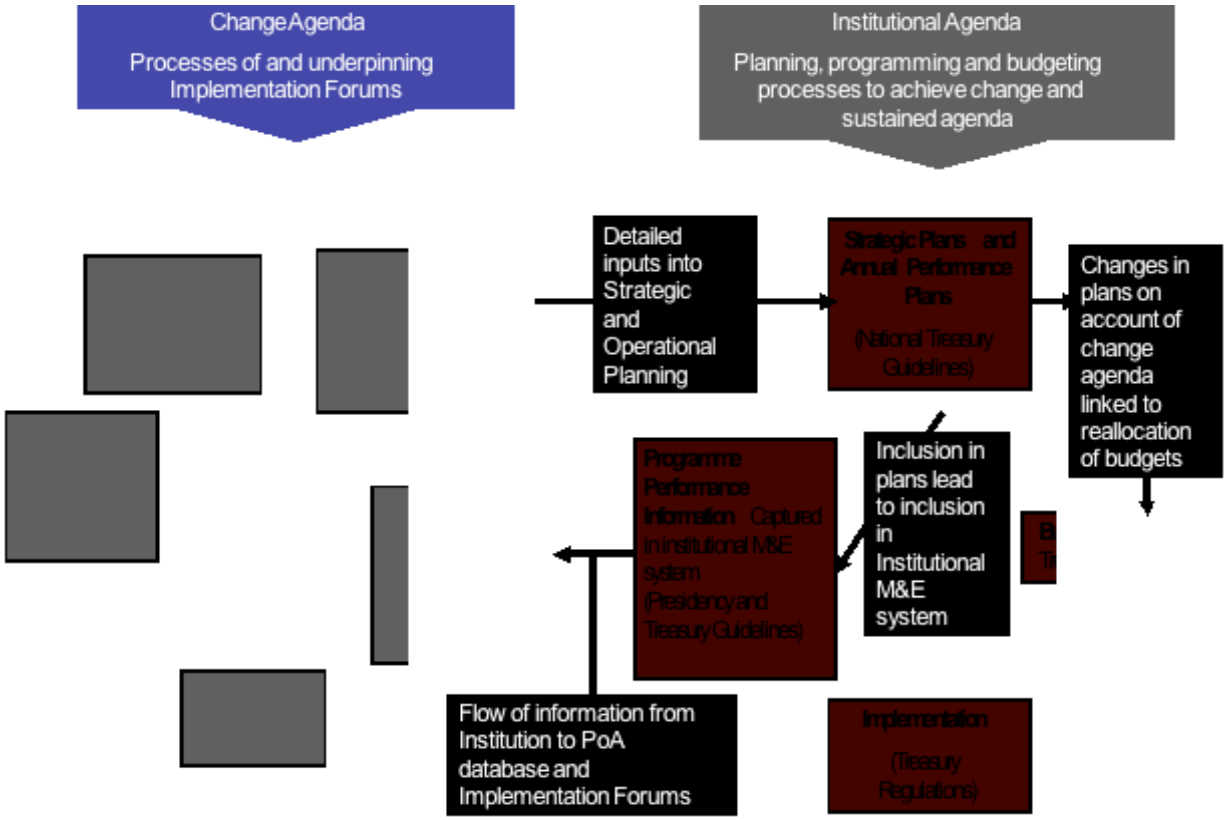
The Implementation Forums are (i) concerned with Government's change agenda and (ii) are a space where delivery partners can report on their individual progress towards milestones and outputs, and where they can resolve coordination problems.

Individual institutions planning, programming and budgeting process however is the engine that drives the activities towards the milestones and outputs. In this the specific activities required to achieve the change agenda needs to be integrated with institutions sustained agenda and funded from their budgets. It is therefore important that institutions integrate their obligations in terms of the Delivery Agreements into their planning and budget cycle.

It is through the integration of the change agenda at institutional level that it will be integrated into Government's sustained budgeting and reporting cycle.

The diagram below sets out the links between the change agenda cycle and institutions' internal processes.

Diagram 7: Linking institutional planning and budgeting processes with the Delivery Agreements and Implementation Forums



The Diagram has the following implications:

- The important first link is that institutions must take their commitments under the Delivery Agreements into account in their strategic and operational plans. The new strategic planning guidelines issued by the National Treasury makes this requirement explicit.
- This will have implications for their budgets. It is likely that their will be very little new money for the activities agreed. Institutions will have for the most part have to reprioritise within their existing envelope over the medium term to fund the required activities.
- It will also have implications for their programme performance information frameworks, ie the framework of performance measures against which they collect and store information for reporting purposes within their monitoring and evaluation systems.

- If institutions are systematic in planning and budgeting for the required activities and including their reporting obligations within their regular M&E system, they will be in a position to update their data on the PoA database on a regular basis and to provide the required reports into the Implementation Forum Processes.