



THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PLANNING
MONITORING AND EVALUATION

DPME Frontline Service Delivery Monitoring: Guideline 4.2.8

Guidelines on Joint Annual Planning for 2015/16

Developed 17/11/2014

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| Addressed to | DPME (FSDM), Offices of the Premier and Sector Departments |
| Purpose | The purpose of this guide is to provide standard operating procedures for joint annual planning |
| Reference documents | FSDM Improvements Monitoring Template, FSDM Summary Report', DPME-OTP Joint Annual Plan |
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A. Introduction

Frontline Service Delivery Monitoring (FSDM) is a joint National programme between the Department of Planning Monitoring and Evaluation (DPME) and Offices of the Premier in the nine provinces. The long-term outcome of this programme is to ensure improved performance and accountability of government service delivery improvement programmes and policies through frontline service delivery monitoring.

B. Problem statement

Planning is one of the success factors in improving performance monitoring and evaluation as such it is important that we ensure that we plan for the implementation of the FSDM programme comprehensively. This document is our initiative to streamline all our planning for the components of the work that we do as the FSDM programme. Planning that is not aligned meant that we omitted some of the critical components of our work as we implemented the programme and this has been costing for the programme. The focus has mostly been on monitoring visits and we have done well in this area. Components such as review of the programme, knowledge management, data analysis and reporting were compromised during the implementation of the programme hence this comprehensive Joint Annual Plan Guide.

C. Objective of Joint Annual Planning guidelines

The guideline is aimed at providing a set of standard operating procedures for Joint Annual Planning within the context of the Joint Programme Management between DPME and Offices of the Premier for the Frontline Service Delivery Monitoring programme. It therefore sets out the

rationale for joint annual planning, programme reviews, sites selection, monitoring visits, knowledge management, data analysis and reporting. These guidelines aim to co-ordinate the work of DPME and Offices of the Premier in a coherent plan to improve the quality of frontline service delivery. The Joint Annual Plan will therefore serve as a guide on detailed technical planning for the new financial year, assist monitoring teams to pull different perspective into a common understanding and allocate resources accordingly. The focus of this guide is that we aim at the below outputs for the components of the programme as we put our plans together, will be on the below,

- **Programme Planning:** Enhanced capacity of OTP and Sectors to monitor FSD: Outputs - tools, guidelines, training materials, Standard Operating Procedures for monitoring
- **Programme Implementation:** Enhanced capacity of OTP and Sectors to use FSDM evidence: Outputs – improvements monitoring visits, improvements tracking systems, improvements tracking reports.
- **Knowledge Management:** DPME and OTP knowledge hub on Frontline Facilities performance and good practices: Outputs – generic tools and guides, case studies, seminars, public portal on facilities performance information.
- **Programme review meetings:** To oversee and take decisions on the overall management of the FSDM programme in the province so as to achieve the outcomes of the FSDM programme.

D. The approach for overall FSDM Joint planning 2015/16

Figure: 1 FSDM Planned Annual Programme and Cycle of Events

| FSDM Activity | Timelines | Outputs |
|--|----------------------|--|
| 1. Programme planning and review | | |
| a. Finalise the Operational Guide Framework | Jan 2015 – Mar 2015 | 2015/16 Operational Guide framework |
| b. Development of Joint annual plans – DPME & Provinces | Jan 2015 – Mar 2015 | Draft 2015/16 joint annual joint plans |
| c. Approval of Joint Annual Plans | Jan 2015 – Mar 2015 | Approved 2015/16 DPME-OTP (National) Joint Annual Plan |
| d. DPME & Offices of the Premier 1 st Quarterly Review Meetings | Jul-2015 – Sept-2015 | Programme Review Report |
| e. DPME & OoP 2 nd Quarterly Review Meeting | Oct-2015 – Dec-2015 | Programme Review Report |
| f. Annual Planning Workshop | Oct-2015 – Dec-2015 | Workshop report |
| g. Training of Monitors | Feb-2015 – Mar 2015 | List of trained monitors |

| 2. Implementation | | |
|--|---|---|
| a. Monitoring visits (baseline & feedback) | Apr 2015 – Feb 2016 Q1: 20 new visits and feedbacks Q2: 40 new visits and feedbacks Q3: 30 new visits and feedbacks | Summary reports and Improvement plans |
| b. Improvement Monitoring (meetings & re-scoring) | Apr 2015 – Feb 2016 Q1: 20 improvement meetings and rescoring visits. Q2: 20 improvement meetings and rescoring visits. Q3: 60 new visits and feedbacks Q4: 20 improvement meetings and rescoring visits. | Progress update on improvement plans |
| 3. Analysis and reporting | | |
| Monthly reports: Statistics of the number of visits conducted, gender disaggregation and brief summaries of findings from facilities visited. | Apr 2015 – Feb 2016 | Quality assured reports |
| Facility reports: Summary reports, Improvement plans and Improvement reports | Apr 2015 – Feb 2016 | Quality assured reports |
| Programme reports: Quarterly, Mid-year and annual reports for sectors and provinces | July 2015 – May 2016 | Quality assured reports signed off by programme manager (quarterly and Mid-year) Quality assured reports signed off by DG (annual Reports) |
| Analysis per request: Facility based analysis, sector analysis, provincial analysis, gender analysis, urban vs rural analysis, KPA analysis, info source etc. | July 2015 – May 2016 | Story telling data |
| 4. Knowledge Management | | |
| Mini stories: | monthly | Mini stories from interesting findings during monitoring |
| Updates/newsletter | quarterly | Published Updates/newsletter |
| Case studies at least 4 per year | quarterly | Case studies |

1. Operational guide framework

Inputs (issues logged) received from provinces during the 2014/15 implementation of the programme, during the programme review meeting and during the November 2014 annual review workshop will be considered to draft and finalise the operational guide framework for 2015/16. The framework will be a consolidated document of all the approaches, guidelines and tools that we use for, programme implementation, for analysis and reporting and knowledge management. The final operational guide plan will be published on the DPME website March 2015, detailing approaches and guidelines for:

- (i) Site selection
- (ii) New/baseline visits
- (iii) Feedback meetings
- (iv) Improvement monitoring visits
- (v) Improvement monitoring meetings
- (vi) Reporting
- (vii) Knowledge management
- (viii) Quality assurance
- (ix) Training
- (x) Monitors conducts

1.1 Guidelines for site selection for new/baseline and feedback visits for 2015/16 financial year

DPME will continue with a commitment of 90 new/baseline visits monitoring visits nationally as per the Annual Performance Plan (APP). There will be an equal spread of sites selected for baseline monitoring visits at the national level across all the provinces in 2015/16, each province with a **minimum of 10 baseline plus 10 feedback** visits which will constitute 10 completed monitoring visits. **NB: (A monitoring visit is only complete when both baseline and feedback meetings are successfully conducted).**

The selection of facilities/sites within each province will be guided by the following:

- I. Districts and local municipalities in terms of the geographical spread which did not receive any coverage.
- II. Each of the eight sectors that we monitor to be represented with a minimum of one baseline visit.
- III. Special priorities that can be identified by DPME or Offices of the Premiers' on service delivery improvements.
- IV. Those provinces that wish to do more visits than the planned 10 joint visits can continue to do more; however, these will mostly be without DPME resources.

1.2 Guidelines and criteria for selecting improvement monitoring sites

Currently, the criterion for selecting facilities improvements monitoring is updated and reviewed yearly. This is in line with the fact that the process for improvements monitoring is influenced by the following factors:

- (i) APP targets: The FSDM's APP targets for 15/16 state that 120 improvements monitoring visits (improvements meetings and re-scoring visits) will be undertaken. This includes new improvements monitoring facilities and current (previously re-monitored) improvements facilities.
- (ii) The dominant trends of the baseline monitoring visits. This means that each year, this section will be updated in line with the baseline findings and trends from the current data collected from the baseline monitoring visits. In this regard, the 2015/16 approach will be influenced by the outcomes of the 2014/15 monitoring findings.

Only the selection of new improvements monitoring sites will take place in this current year and DPME will continue with the annual target of 120 facilities. For 2015/16, a selected number of facilities that have fully implemented their improvement plans and have shown improvement on the assessments, will be handed over to their respective Offices of the Premier and responsible Sector departments for further monitoring to sustain the realised improvements. An approach to this will be agreed upon between DPME and Offices of the Premier collaboratively.

For 2015/16 new improvements monitoring facilities, only those facilities that meet the following criteria will be monitored for improvements:

- (i) If three (3) or more poor average (of citizen and monitor's ratings) KPA ratings are achieved in one facility, then that facility will be re-monitored for improvements.
This is illustrated in the example below using visibility and signage, queue management and complaints management as average KPA ratings for facility X:
- (ii) An average KPA rating of between 1-1.4 (Poor) as rated by both citizens and monitors counts as 1 poor KPA rating as illustrated below:
- (iii) Staff scores will not be considered in selecting facilities that should be monitored for improvements as it is assumed that staff scoring creates room for biasness.
- (iv) Facility findings that require close monitoring based on the qualitative information on the summary report but do not meet the selection criteria based on scores.

| Citizen | | | | | | | | Monitor | | | | | | | |
|--------------------------|----------------------|----------------------------------|---------------------|-----------------------|--------|-------------------------|-----------------------------|--------------------------|----------------------|----------------------------------|---------------------|-----------------------|--------|-------------------------|-----------------------------|
| Location & accessibility | Visibility & Signage | Queue Management & Waiting Times | Dignified Treatment | Cleanliness & Comfort | Safety | Opening & closing times | Complaint Management System | Location & accessibility | Visibility & Signage | Queue Management & Waiting Times | Dignified Treatment | Cleanliness & Comfort | Safety | Opening & closing times | Complaint Management System |
| 3.0 | 1.3 | 1.3 | 3.7 | 2.0 | 2.0 | 2.7 | 1.3 | 3.0 | 1.3 | 1.3 | 3.7 | 2.0 | 2.0 | 2.7 | 1.3 |

As per above the illustration above:

Location and Accessibility average KPA rating =1.3 (Poor)

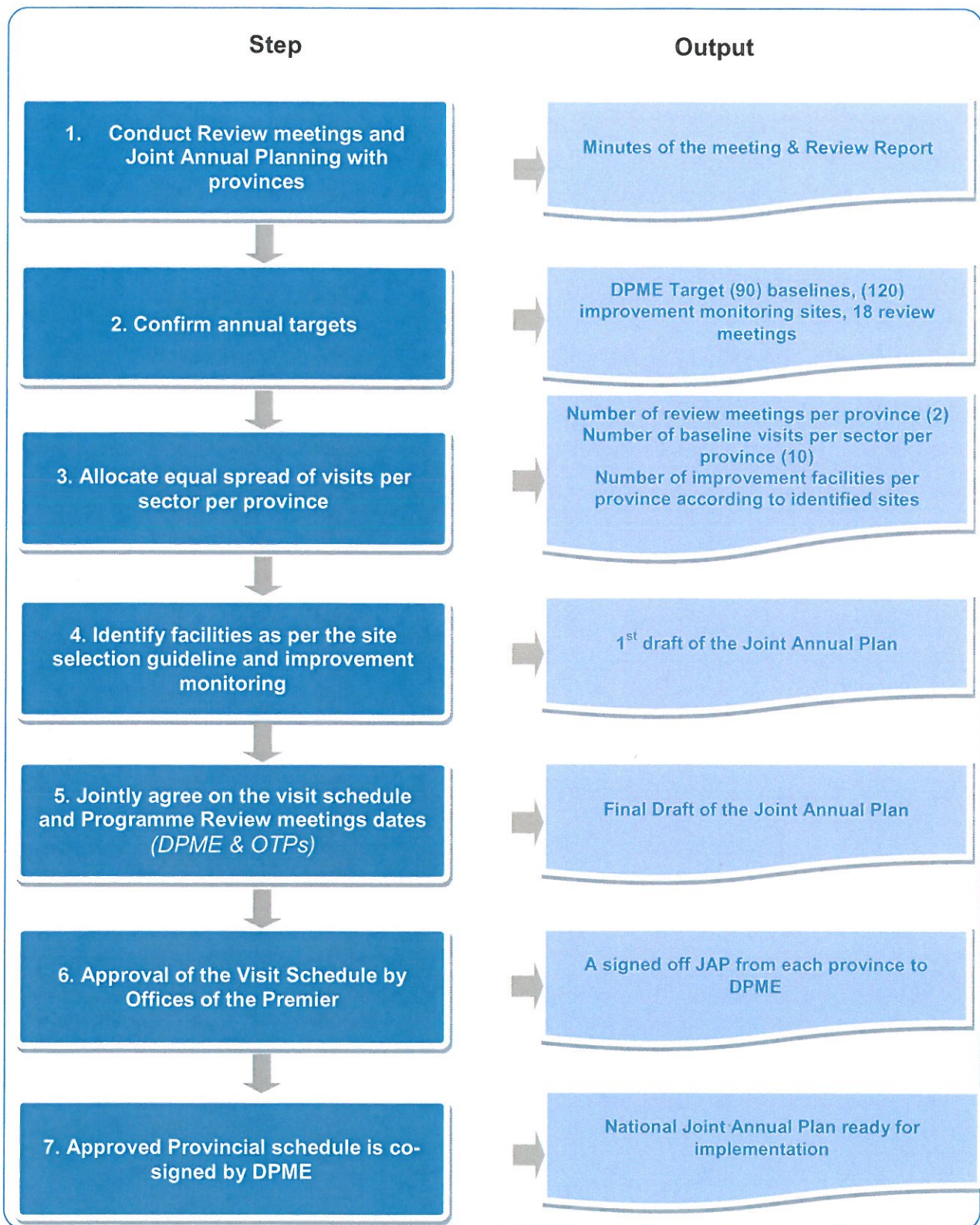
Visibility and signage average KPA rating = 1.3 (Poor)

Complaints and compliments system average KPA rating = 1.3 (Poor)

1.2.1 Improvements monitoring facilities with severe findings

Improvements monitoring processes for facilities with severe findings are outside the normal FSDM exercises and will be driven by a task team consisting of DPME, OoP, facility management and regional and national stakeholders. These stakeholders are required to meet regularly - at least once a month, until the completion of the process to ensure the planning and implementation of the improvements plans. The line departments are responsible for the implementation of improvements while DPME and OoP will provide leadership in terms of driving the planning process and will provide oversight over the implementation process. The implementation of these service delivery improvements will also depend on the availability of resources (human and financial) in the implementing department.

1.3 Process map for site selection and approval of the Joint Annual Plans



1.4 Training of monitors

Continuous training is provided by DPME to Provincial monitors as part of the collaboration effort and on-going support to Provinces. The training process is based on the new updates into the programme as well as ensuring that monitors are on par with the latest requirements of the programme.

2. Implementation of the FSDM Programme

As previously indicated that the FSDM is a joint programme between DPME and Offices of the Premier, therefore all the visits are jointly conducted. Provincial Coordinators in Offices of the Premier taking a leading role with regard to visit preparation and meeting coordination guided by the Joint Annual Plan. Close communication and consultation between DPME and Offices of the Premier is necessary throughout the implementation process and the allocation of the following responsibilities.

DPME:

- (i) *Design and maintain the monitoring tools and the monitoring protocols,*
- (ii) *Jointly conduct the monitoring visits with OTPs*
- (iii) *Analyse findings and report to Cabinet and national sector departments,*

Offices of the Premier:

- (i) *Support the refinements of the monitoring tools and protocols*
- (ii) *Joint monitoring with DPME*
- (iii) *Present findings to provincial HODs and MECs and other relevant forums.*
- (iv) *Monitor adherence to agreed improvements plans at provincial level.*

3. Monitoring visits

3.1 Baseline and feedback visits

Baseline visit is the initial unannounced monitoring stage to the targeted service delivery sites aimed at collecting baseline data to monitor the quality of frontline service. Baseline data collected and compiled describes the situation with proposed recommendations prior to the development /implementation of the improvement plan i.e. **summary report**.

Feedback visit or Feedback meeting refers to the communication of findings generated through the baseline monitoring visit to the relevant stakeholders and departments. The feedback process is aimed at verifying and presenting the findings of the baseline, agreeing on the recommendations with activities, budget allocation and timelines i.e. **improvement plan** aligned to other sector/departmental initiatives.

DPME and Offices of the Premier are jointly responsible for drafting the summary reports, feedback reports and improvements monitoring reports, which must be submitted to the facility management soonest after the visit. The facility management is responsible for submitting the report to its stakeholders, especially the principals. It should be standard practice for such reports to reach the provincial management, as key decision makers within a department/sector.

3.2. Improvements monitoring

This is a process where DPME undertakes a monitoring visit to service delivery facilities where a baseline and feedback visit has been undertaken and improvement plans have been developed and implemented. Improvements monitoring is aimed at tracking improvements in scores (performance) in the key performance areas identified for improvement in the baseline visit and to track progress on the committed action items/activities. An Improvements monitoring visit will take place six months after the baseline and feedback visit. This process takes place in two phases i.e. Improvement meeting and re-scoring.

Alongside the DPME driven improvements monitoring processes, it is recommended that OoP drive the improvements monitoring processes for their own line departments through the existing provincial structures (DG/HODS Forum) to fast track the implementation of improvement plans by the line departments. This involves reporting on the improvements monitoring processes at least once per quarter at the DG and HODs forum. FSDM provincial reports, baseline site reports, feedback engagement reports and draft improvements monitoring scores to be used to provide progress report at these forums. A stakeholder engagement report to be used to capture the outcomes and commitments made at these forums and for use in the next process.

3.2.1 Improvement meeting

An improvement meeting is a pre-arranged engagement with all stakeholders focusing on problem solving, uncovering of systemic challenges, confirming of short, medium, long term improvement actions. This process can be conducted in either one of the two methods, i.e. per facility where discussions are based on one facility. This approach allows for on-site verification on the items completed in the improvement plan. The second method is commonly referred to as the

sector approach/meeting which was introduced by the Free State Province. This approach involves the grouping of all facilities belonging to the same sector with the decision makers and respective Management for a joint meeting to track overall progress in all the identified facilities. Each facility improvement plan is presented and discussed.

In instances where items have not been implemented, motivation and reasons should be documented and items that have been implemented should be signed off at these meetings. An improvements monitoring template must be used in these meetings to track progress against the activities in the improvement plan. While the timeframe is not prescriptive, it is recommended that announced improvements monitoring meetings for 2015/16 are scheduled to commence in Q1 for alignment with the DPME APP target.

3.2.2 Rescoring

Re-scoring is un-announced improvements monitoring visits (re-scoring) undertaken to identified improvements facilities after the announced improvements monitoring meeting. The purpose of this visit is to monitor the facility through the re-scoring of the eight key performance areas in the questionnaire and to confirm action items that have been completed as per the facility's improvement plan. In re-administering the questionnaire the focus is on getting a second score (rating) for the facility, after the implementation of improvements. In re-scoring the facility, **all key performance areas will be re-monitored (re-scored)** and the following rating guidelines will be followed in re-scoring each performance area:

| Rating | Baseline score | 2nd Improvements score | Description | Change in scores |
|-----------|----------------|------------------------|-------------|------------------|
| Poor | 1 | 1 | No change | 0 |
| | | 2 | Improvement | 1 |
| | | 3 | Improvement | 2 |
| | | 4 | Improvement | 3 |
| Fair | 2 | 1 | Regression | -1 |
| | | 2 | No change | 0 |
| | | 3 | Improvement | 1 |
| | | 4 | Improvement | 2 |
| Good | 3 | 1 | Regression | -2 |
| | | 2 | Regression | -1 |
| | | 3 | No change | 0 |
| | | 4 | Improvement | 1 |
| Very Good | 4 | 1 | Regression | -3 |
| | | 2 | Regression | -2 |
| | | 3 | Regression | -1 |
| | | 4 | No change | 0 |

4. Programme Review

4.1 Quarterly Review meetings

Programme review meetings will be held in respective provinces and the responsibilities of this meeting are shared between DPME and OTP. The review process is informed and managed

through an **issue log** from DPME and Provinces which allows for the review and update of the tools for a systematic approach to enhancing FSDM tools. The issue log also allows for gradual management of change, improved data collection and analysis. A minimum of 2 (two) quarterly review meetings per province to assess progress and challenges in the implementation of the programme will be held during the 2015/16 year and dates for these meetings should be agreed upon between DPME & OoP and be documented in the Joint Annual Plan. The purpose of these meetings is to:

- Review the quarterly performance of the programme against the stipulated targets
- Management and governance of the programme
- Provide feedback and overall assessment on the effectiveness of the implementation tools
- Programme knowledge management
- Conduct Planning for the next quarter/ financial year.

4.2 FSDM Annual Workshop

The FSDM workshop is held annually and coordinated by DPME in collaboration with the Offices of the Premier. The main purpose of the annual workshop is to plan, review and reflects on the management and implementation of the programme as well as lessons sharing.

5. Reporting

DPME and Offices of the Premier are jointly responsible for drafting the summary reports, feedback reports and improvements monitoring reports, which must be submitted to the facility management. The facility management is responsible for submitting the report to its stakeholders, especially the principals. It should be standard practice for such reports to reach the provincial management, as key decision makers within a Department/sector.

Programme reports will be completed by DPME; this will include findings of joint visits as well as visits that were not done jointly (only when they meet the quality assurance standard). The reports will be submitted to office of the Premier/ Department of the premier for comments and inputs by DPME prior to submission and presentations to respective National Sector departments, G & A Cluster, Cabinet, Presidential Coordinating Committee and M&E forums.

E. CONCLUSION

The successful implementation of these guidelines will promote integrated coordination and alignment of activities between DPME and Offices of the Premier to improve and promote effective and efficient frontline service delivery through improved planning. The JAP will therefore serve as a guide on detailed technical planning for the 2015/16 financial year for monitors in their respective Provinces.