



planning, monitoring and evaluation

Department:

Planning, Monitoring and Evaluation
REPUBLIC OF SOUTH AFRICA

FRONTLINE SERVICE DELIVERY MONITORING (FSDM)

OPERATIONAL GUIDE FRAMEWORK 2016-2017

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LIST OF ABBREVIATIONS AND ACRONYMS

COGTA	Department of Cooperative Governance and Traditional Affairs
DLTC	Driver's License Testing Centres
DPME	Department of Planning, Monitoring and Evaluation
DPSA	Department of Public Service and Administration
FMPPI	Framework for Management of Programme Performance Information
FSDM	Frontline Service Delivery Monitoring
GWMES	Government-Wide Monitoring and Evaluation System
JAP	Joint Annual Plan
KPA	Key Performance Area
MCCC	Municipal Customer Care Centre
M&E	Monitoring and Evaluation
NDP	National Development Plan
NEPF	National Evaluation Policy Framework
NT	National Treasury
NYDA	National Youth Development Agency
NYP	National Youth Policy
OTP	Office of the Premier
PA	Performance Area
PFPM&E	Policy Framework for Performance Monitoring and Evaluation
PIS	Performance Information Systems
PME	Performance Monitoring and Evaluation
SASQAF	South African Statistical Quality Assessment Framework
SASSA	South African Social Security Agency

GLOSSARY OF TERMS

Baseline visit:	The initial monitoring visit to the targeted service delivery facilities. At this monitoring visit baseline data is collected and used to monitor the quality of service at that service point. Baseline monitoring visits are conducted by the Department of Planning Monitoring and Evaluation's Frontline Service Delivery Monitoring unit in partnership with the Offices of the Premiers/ Department of the Premiers. The baseline data that is compiled describes the situation as is prior to the development or implementation of improvement plans.
Facility	Facility refers to a service point where frontline services are delivered directly to users. In relation to the FSDM, these include schools, clinics, hospitals, community health centres, police stations, SAASA offices, Home Affairs offices, Magistrate courts, Drivers' License Testing centres and Municipal Customer Care Centres.
Facility scorecard:	This is a performance dashboard for a facility monitored against the FSDM key assessment areas. The display on the dashboard is shown in various colours and scores indicating quantitative performance rating from very good and poor and qualitative performance through the summarised findings and recommendations.
Feedback meeting:	This is a meeting with facility management team whereby the monitoring team provide and discuss the findings generated during the monitoring visit. The feedback process aims to verify the findings of the baseline monitoring visit and agree on how to address the gaps identified during monitoring in a form of an improvement plans with the monitored department. Feedback meetings are conducted for all monitored service delivery facilities and they can either be conducted for a single facility of a group of facilities.
Improvement plans:	Corrective plans developed by the management of the affected service delivery facility and facilitated by Department of Planning, Monitoring and Evaluation, and the Office of the Premier. These plans put measure to address problems identified during a monitoring visit and are developed for all facilities monitored.
Improvements monitoring:	A process in which Frontline Service Delivery Monitoring undertakes to re-monitoring activities at service delivery facilities where a baseline monitoring visit have taken place and improvement plans have been developed. The monitoring activities include a meeting in which progress is tracked against the agreed improvement plan with facility management, as well as an unannounced monitoring visit aimed at on-site verification of progress

received for improvement on the agreed upon activities in the improvement plan.

Improvement monitoring findings: Findings that focus on the improvements monitoring and show trends between the baseline monitoring visits and subsequent monitoring visits.

Joint annual plan: A plan that contains all the FSDM activities and engagements for joint implementation of the programme by the OTP and DPME annually.

Key performance areas: The standards on which the monitoring is based. There are eight areas which the Frontline Service Delivery Monitoring Programme monitors in each service facility.

Performance area This is a sub section of the KPA and acts as a heading to divide the KPA into more understandable/relevant sections.

Performance area statement This is a statement that defines the expected level of performance in terms of service delivery and expected quality for a service facility. It is the statement against which the monitor will assess the facility

Measures They set out the measureable criteria for each Performance Area. The measures are validated through a set of questions that collect evidence on critical elements of a particular aspect of frontline services embodied in the Performance Area.

Monitor: An official from the Department of Planning, Monitoring and Evaluation or the Office of the Premier, who collects data by interviewing citizens and staff, while they conduct observations in a service facility to monitor its performance against set standards. In some provinces the officials will include teams from CDW

FSDM tools The FSDM tools refer to the templates used for data management (data collection, analysis, reporting and documentation of FSDM stories)
Questionnaire: A tool used to gather baseline data at service delivery facilities. At the facility, a paper questionnaire is administered to staff and citizens including the observation by the monitors. After each monitoring visit, the questionnaires are captured electronically.

Scoring This refers to the approach to scoring or rating a measure. Scoring is done on a progressive basis through the use of a four point scale where (1) is the lowest score (poor) and (4) is the best score (very good) achievable by the facility.

Monitor checklist	This checklist contains the 'measures' that is the questions that guide the actions, observations and behaviours of the monitor in collecting evidence and it ensures that all required data is collected.
Staff questionnaire	This questionnaire is administered by the monitor to the staff member of the facility. It contains questions that are relevant to staff and it elicit information specifically related to the knowledge of the staff in a facility.
User questionnaire	This questionnaire is administered by the monitor to citizens in the facility and contains questions for the user of the public service. It seeks to obtain information on their experience of the frontline service.
User	The person(s) who use the frontline facility, whether a resident or citizen and whether their visits are regular or once-off.
Monitoring visit findings:	Results compiled following a monitoring visit reflecting the actual situation at the time of the monitoring visit.
Photographic evidence:	Photographs about the facility monitored per key performance area reflecting the status of a facility. These photographs are used as evidence during reporting as baseline evidence or comparative evidence for facilities under re monitoring.
Summary report:	Consolidated summarised information about a service facility, sourced from the monitor, staff and citizens' questionnaires. It indicates the performance and scores of each service delivery facility in the eight key performance areas monitored, with photographs and an action plan.
Improvements verification:	It is an on-site process used to assess the status of a facility to determine the number of activities implemented using the facility improvement plan as the key reference document to confirm improvements.

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1 STRATEGIC REFERENCE FRAMEWORK

1.1 *The Constitution*

The Constitution of the Republic of South Africa, Chapter 10, talks to the following key principles for service delivery by government institutions:

- A high standard of professional ethics must be promoted and maintained;
- Efficient, economic and effective use of resources must be promoted;
- Services must be provided impartially, fairly, equitably and without bias;
- People's needs must be responded to, and the public must be encouraged to participate in policy-making;
- Public administration must be accountable; and
- Transparency must be fostered by providing the public with timely, accessible and accurate information.

1.2 *The National development plan*

The National Development Plan (NDP) points out that the creation of a developmental and capable state is a prerequisite for addressing South Africa's development challenges. The NDP says that the State must be "capable in that it has the capacity to formulate and implement policies that serve the national interest; developmental in that those policies focus on overcoming the root causes of poverty and inequality," and build "the State's capacity to fulfil this role." Further on page 474 of the NDP talks to the need for an active citizenry and strong leadership. All spheres of government "can enhance citizen's participation through a variety of two-way information gathering and sharing forums and platforms between citizens and government. While these platforms can enable government to inform, they also enable citizens to give feedback to government and monitor performance... Active citizenship requires inspirational leadership at all levels of society."

The National Development Plan (NDP) continues to talk to "an efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship". The capability of government institutions remains weak in terms of management practices, quality of frontline service delivery, effective complaints management and community/citizen involvement in monitoring. This results in service delivery failures and drives citizen dissatisfaction and poor staff morale.

1.3 *Medium Strategic Framework (MTSF): The outcome approach.*

Outcome 12 of the MTSF emphasises the importance of improving management practices and the quality of services provided to citizens. In addition a number of other outcomes (such as outcomes 1, 2 and 3, focusing on basic education, health and crime) contain targets for the improvement of the quality of services provided to citizens. The work of Frontline Service Delivery Monitoring (FSDM) Programme contributes towards the achievement of these targets.

1.4 *Batho Pele Principles*

The South African government has displayed tireless commitment to achieving universal access to public services. In the first two decades of democracy, emphasis was placed on redressing the historical inequalities in service delivery, improving access to services and eradicating backlogs. The Batho Pele policy framework was an initial attempt to

translate the imperatives set out in the Constitution into tractable principles that would govern the interactions between government and users during service delivery process. These principles are aligned with the Constitutional values of governing departments for service delivery which includes consultation, service standards, access to services, information, openness and transparency, redress and value for money. The FSDM seeks to encourage the more rigorous monitoring of sector standards that govern all matters that influence service received by the users at facility level.

1.5 Other Prescripts

Since 1994, monitoring and evaluation has been introduced to government as part of a series of reforms to strengthen its systems and operations, backed by a range of statutes and other prescripts. For example:

- The Department of Public Service and Administration introduced an employee Performance Management and Development System.
- Through regulations, National Treasury introduced the use of output targets and performance reporting against output targets in departmental strategic plans, annual performance plans, and annual reports. The regulations are supported by various National Treasury guidelines on the formulation of performance targets and reporting against these, such as the Framework for Managing Programme Performance Information (FMPPI). These guidelines are results-based and require departments to identify activities leading to outputs, outcomes, and finally impacts on citizens. The National Treasury guidelines emphasise the need for strong logical links (or theories of change) between the activities and the intended outcomes and impacts.
- The Auditor General followed by auditing reported performance against the pre-determined objectives in the annual performance plans, as part of the annual audit of departments which is included in the annual report of departments.

In 2005 Cabinet adopted the Government-Wide Monitoring and Evaluation System (GWMES) and in 2007 the Presidency released the Policy Framework on the GWMES. The GWMES framework is supported by National Treasury's Framework for Managing Programme Performance Information; Statistics South Africa's South African Statistical Quality Assessment Framework (SASQAF); the 2011 National Evaluation Policy Framework (NEPF) produced by DPME; and the Policy Discussion document: Performance Monitoring and Evaluation (Principles and Approaches 2014) by DPME.

2 BACKGROUND

2.1 The Department of Planning Monitoring and Evaluation defines its purpose as follows:

“To advance the development goals and objectives of government as embodied in the NDP through effective and dynamic planning, monitoring, evaluation and implementation support”.

Within the context of its strategic purpose, the Minister has spelt out a clear set of political responses that should be weaved into the work of DPME. These can be summarised as follows:

- Alignment of the National budget to the NDP goals
- Extensive on the ground monitoring and intelligence
- Mainstreaming youth development in the work of the Department
- Monitoring and reporting on the obligation to pay suppliers within 30 days of receiving a valid invoice

- Reforming the mining sector
- Ensure sector plans for strategic sectors are developed and implemented
- Monitoring the performance and effectiveness of DFI's and directing their resources towards the country's development goals and objectives Some the issues identified will be implemented incrementally starting in the financial year 2016/17.

Full implementation of the revised strategy, service delivery model and the revised organisational structure will be implemented in the financial year 2017/18 going forward.

2.2 Revisions to legislative and other mandates

The mandate of the Department of Planning, Monitoring and Evaluation is derived from section 85(2) (b-c) of the Constitution of the Republic of South Africa which states that the President exercises executive authority, together with the other members of the Cabinet, by developing and implementing national policy and coordinating the functions of state departments and administrations. This has been given concrete expression by the President in his 2010 and 2011 State of the Nation Addresses as well as various Cabinet decisions; and by the "Policy Framework on Performance Monitoring and Evaluation - Our Approach" document and the "Revised Green Paper: National Planning Commission," which were tabled in Parliament.

2.3 Frontline Service Delivery Monitoring

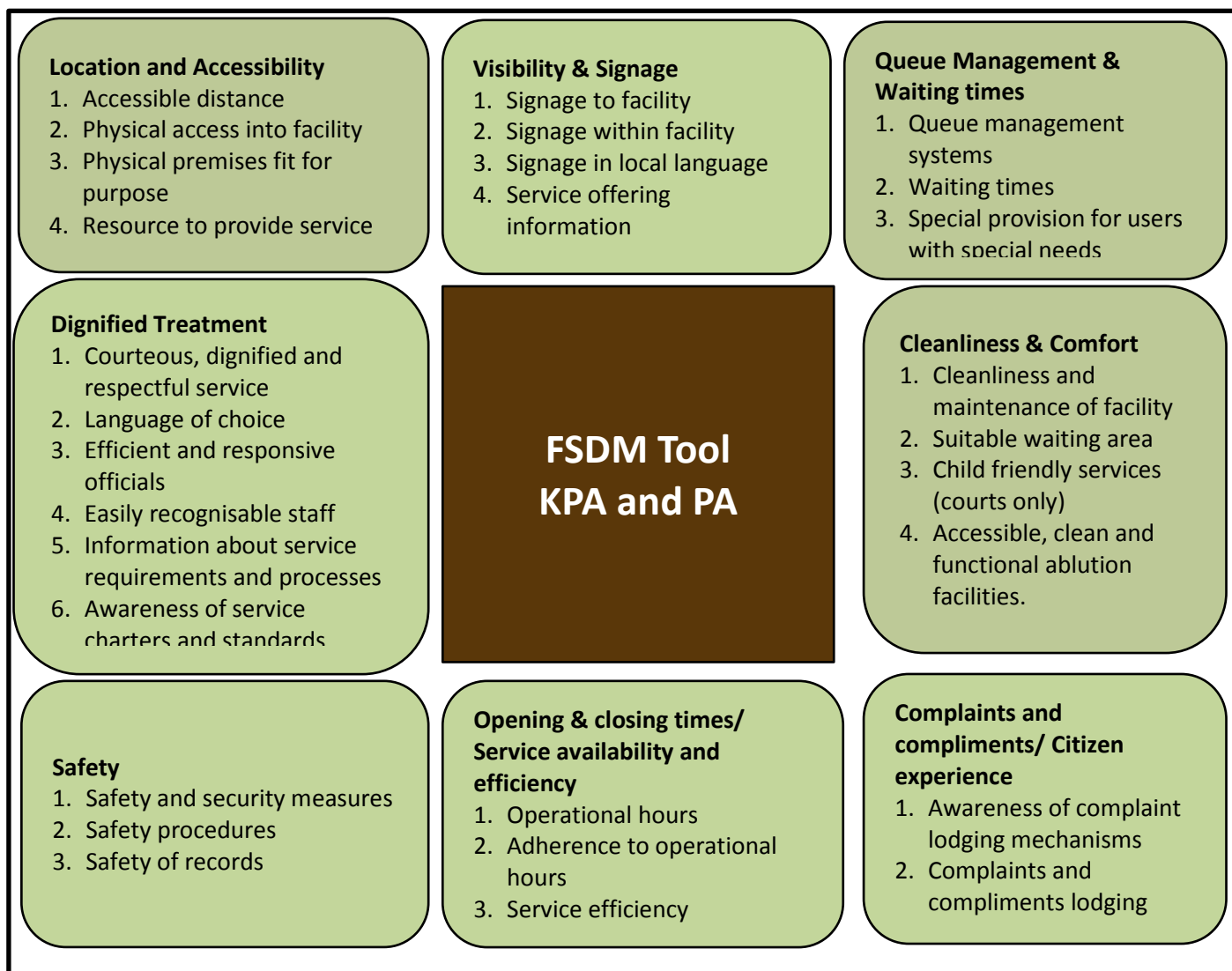
The Frontline Service Delivery Monitoring Programme enables the Department of Planning, Monitoring and Evaluation to visibly monitor service delivery on the ground in order to verify service delivery outputs and outcomes in the MTSF. The FSDM programme was initiated in 2011 and commenced its activities in June of that year. The programme, through unannounced facility monitoring visits, monitors the quality of service delivery at selected service facilities with the intent to catalyse service delivery improvements. Interviews are conducted with citizens and staff and the findings are produced in the form of a score card for each facility monitored. The findings are presented to the relevant sector departments and Cabinet at least once a year. The Department of Planning, Monitoring and Evaluation together with Offices of the Premiers work with the relevant government departments to ensure that corrective actions are taken where the results are found to be poor. It should also be noted that FSDM Programme is **NOT**:

- Intended to replace the responsibility of line departments for frontline service delivery improvements and for their monitoring of these improvements, or
- A complaints management service – this is sufficiently addressed by the various hotlines and call centres already provided by the Presidency, Premiers' Offices, and line departments; or
- Intended to be a comprehensive and representative sample size.

In general, frontline service delivery is the 'user-facing' part of delivering public services. When viewed through a broad lens, this definition can cover all interactions between citizens, residents and government that happen during the course of service delivery. There are a variety of policies, legislation, frameworks and standards that influences the interface between the users of public services and government during service delivery. The Department of Public Service and Administration, for instance, requires that all government departments develop service charters that inform the users of what they can expect from government departments. The user's journey through the frontline service delivery is a complex one, but best thought of as a process that culminates with receipt of a public service that improves their social or economic wellbeing.

The FSDM is neither punitive nor a regulatory function, however the programme must deliver robust assessments that ultimately translate into improved quality of frontline services and this goal is being implemented through the FSDM programme tools that measures frontline service delivery standards as put in place by the relevant policy departments. The FSDM focus is on a progressive assessment methodology that assesses the following eight Key Performance Areas (KPA) and their associated Performance Areas (PA) as well as standards for quality of service delivery daily in line with the policies and regulations of the Department of Public Service and Administration and the responsible line departments:

Figure 1: Key Performance Areas Monitored



For the 2016/17 year of implementation the facilities from Home Affairs offices, health facilities, schools, police stations, South African Social Security Agency (SASSA) offices, Drivers licence testing centres, courts, municipal customer care centres (MCCC), and facilities that provide services in terms of youth development. These facilities are specifically targeted because of the importance of the services they provide to citizens and the need for all users to receive a quality service when they use these facilities.

The strategic focus of the programme is to monitor the quality of services provided by government to users at facility level within the various sectors using appropriate tools of measurement. Particular attention is paid to monitoring the following sector-specific standards and the above mentioned eight key performance areas:

- Education:** Availability of textbooks, workbooks and stationery, cleanliness and safety of schools and teacher attendance.
- Health:** Management of queues and waiting times in hospitals and clinics, availability of medicines and other basic supplies, cleanliness and the safety of health facilities.
- Home Affairs:** Turnaround times for issuing identity documents.
- Justice:** Turnaround times for feedback to public regarding progress with their case and service charter.
- Police:** Adherence to average turnaround times to calls for assistance and provision of feedback regarding progress with cases to members of the public by the police.
- SASSA:** Turnaround times for applications for social grants.
- Transport:** Service delivery in drivers' licence and testing centres (DLTC) with respect to the turnaround times for issuing licences.
- COGTA:** Service delivery in Municipal Customer Care Centres (MCCC) with respect to turnaround times for various service request.
- Youth:** Availability of capacity development programmes and employment creation initiatives within sectors in response to the implementation and mainstreaming of the National Youth Policy (NYP).

Whilst retaining its focus on the sector departments, the FSDM programme will also provide monitoring to more public service facilities as required by the Executives of the Department. This "on-demand" monitoring will also assesses core issues specific to each sector or facility being monitored, providing additional information in terms of challenges that can be utilized to address strategic issues.

3 PURPOSE

This framework stipulates the processes and procedures of the FSDM Programme. It clarifies the various roles and responsibilities as well as the tools and mechanisms utilized in the implementation of the Programme. To date, tools and guidelines have been developed to guide planning, monitoring, reporting and knowledge management for the programme. Given the profile of the programme, it is critical that it is exemplary in the manner it conducts its business, so that its approaches and findings are credible and ensures the sustainability and relevance of the programme. From the findings of the programme (i) it was indicated that the level of subjective of the monitoring tools needed to be addressed (ii) Clear measures must be put in place to assist the monitor; hence the review of the assessment framework for the programme has been developed. This work has been completed and published on the DPME website.

Further the experience of developing the FSDM assessment framework has prompted the development of a guiding document on HOW TO DEVELOP MEASUREABLE STANDARDS AND USE THEM FOR DELIVERING QUALITY FRONTLINE SERVICES: the guide that can assist departments in understanding how standards can be developed that will help frontline service staff to meet the expectations of the users. It's a practical, simple guide based on the tool used by the Frontline Service Delivery Monitoring (FSDM) programme of the Department of Planning, Monitoring and Evaluation (DPME) that has an impact on quality.

4 OBJECTIVE OF THE FSDM

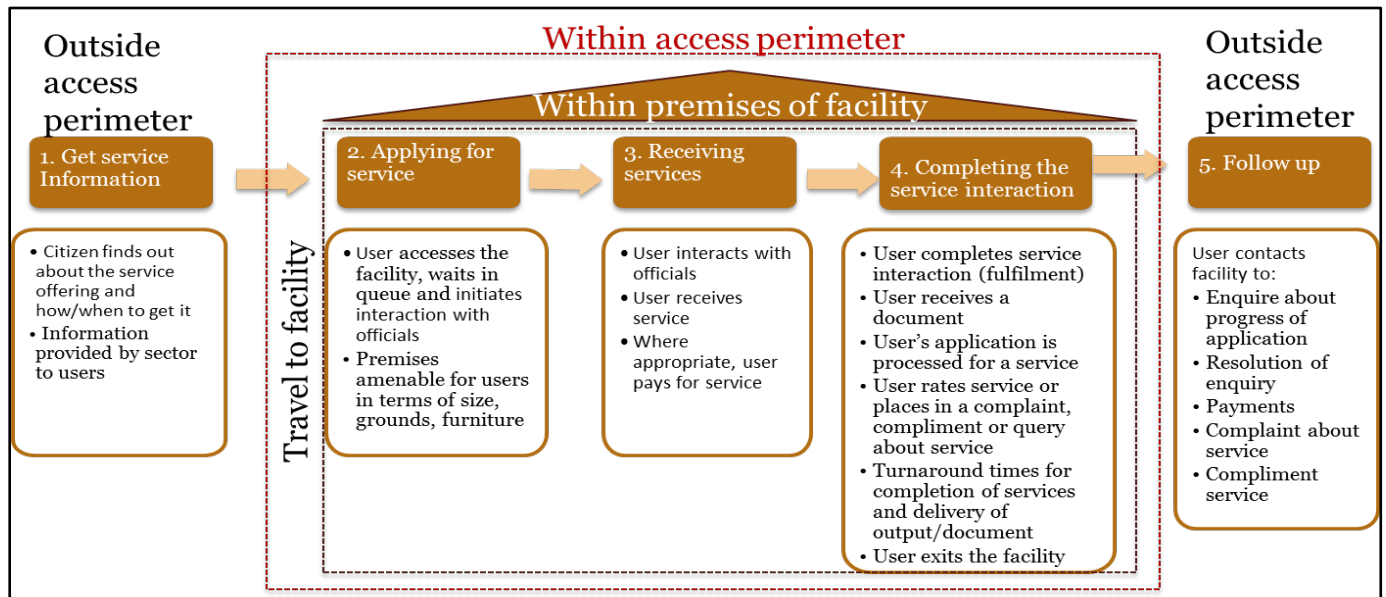
Fundamentally, the purpose of these monitoring visits is to encourage continuous and sustained improvements in frontline service delivery. Where gaps exist, the programme facilitates the development of improvement plans that identify what must be done by the facility to meet the set standard. The FSDM programme objectives are to:

- Demonstrating to departments the value of user views in a monitoring system and daily collection of information at facility level to institute quick corrective actions as good operations management practice
- Identify developmental areas in service delivery and facilitate improvement by encouraging problem solving and systemic changes.
- Strengthen the role of the Department of Planning, Monitoring and Evaluation and the Offices of the Premiers in the verification of monitoring results in order to improve the quality of service delivery at frontline facilities;
- Document case studies/stories of good practice for information sharing.

5 MONITORING SCOPE OF THE FSDM PROGRAMME

The monitoring scope of any frontline monitoring programme can be broader, however for the FSDM programme the monitoring scope begins before the user enters the physical premises of the facility and ends once the user exits the facility *see figure 2*. For the purpose of the FSDM programme, the scope of the FSDM monitoring tool is confined to the access parameter. The coverage of the FSDM programme includes entrance to the facility, the application for, and receipt of services and the exit of the user. Any other interaction they have with the facility once they have exited the "access parameter" is not part of the FSDM tool. That is, the FSDM tool does not assess how users were treated when they phoned the facility for information or a complaint or what information they received about the service site before they accessed it or after they left it.

Figure 2: Scope of the FSDM Programme



The scope of the FSDM programme demarcates what a monitor can or cannot assess. Therefore, any feedback provided by the user during the monitoring visit that pertains to areas beyond the scope of the FSDM programme should not influence the score of the facility. For the FSDM programme to be effective in bringing about meaningful improvements to the quality of frontline services, it must measure the critical aspects of service that affect the user's experience and reflect on the standards set by government. Encouraging adherence to service standards is an important responsibility for the FSDM programme, as these standards set out the levels of service that government has committed to delivering.

6 FSDM APPROACH AND METHODOLOGY

- A set of standardised paper based data collection tools are used to obtain the views of service users, staff and monitors' observations.
- The tools consist of eight generic KPAs with standards that are assessed at each facility monitored in nine different sectors, including the mainstreaming of the National Youth Policy;
- Officials carry out unannounced visits to service delivery institutions which interact directly with the public- (baseline assessments).
- The findings are documented and presented to facility management and relevant provincial stakeholders during a feedback meeting.
- Monitoring of improvements on identifying areas of weakness and developing improvement plans with the line department for implementing the corrective measures.
- OTP and DPME facilitate the implementation of the improvement plans through follow up with relevant facilities/ sectors.
- Reporting to various Executives at local, provincial and national levels.

7 FRONTLINE SERVICE DELIVERY MONITORING PROGRAMME OPERATION COMPONENTS

The FSDM programme is centred on four (4) main components that circumscribe all of its activities and these includes:

- Programme planning and review;
- Programme Implementation;
- Data analysis and reporting; and
- Knowledge management.

7.1 *Programme Planning and Review*

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. Annually as joint partners we are expected to plan for activities of the next financial year and this process is based on the joint annual planning guidelines document. The joint annual planning guidelines consist of annual targets, selection criteria for facilities (baseline and improvement monitoring), approval process of the joint annual plans (OTP & DPME), standard operating procedures for the implementation of the monitoring visits / assessments, reporting and knowledge management for joint implementation in 2016/17.

The review process allows for the programme management and implementation reviews. The intention is to discuss the management and the implementation of the FSDM programme between DPME and OTP. This session will primarily be used to address challenges experience through overall programme management and implementation. Further these meetings should be used for discussion of new updates, innovations, planning and also be used as write shop for the programme knowledge/communication materials. The FSDM programme is developmental and responsive in nature and it is critical that we reflect to ensure relevance, adherence to standards operating procedures, teas-out provincial challenges and planning for implementation. Programme review also provides an opportunity to validate the success of the programme and give confidence to the stakeholders that it has met the objectives it set out to achieve. This is done through provincial meetings and annual workshop.

7.1.1 **Provincial review meetings**

Programme review meetings will be held in respective provinces and the responsibilities of these meetings shall be shared between DPME and OTP in terms of arrangement and logistics. The review process is also a built up process to the Annual FSDM workshop. Each province will have one review meeting and the second meeting will be inclusive of planning. It is important that these meetings take place to address critical programme issues, otherwise a motivation should be provided if there is no need to have a programme review meeting. The 2016/17 programme review dates for these meetings should be agreed upon between DPME & OTP and documented in the Joint Annual Plan (JAP). It is further proposed that where possible, provinces be grouped together for these meetings to maximise on discussions, time and resources as per the recommendations from the 2015/16 FSDM annual workshop. **NB: The joint annual planning and review meeting for all provinces and DPME will be held on 20-21 February 2017.**

7.1.2 **Sector championing**

The programme has scheduled engagements with the sectors that are part of the programme where facilities findings reports (mid-year and annual) are discussed. The objective of these engagements is to highlight strategic findings for consideration and/or to influence policy, decision making and operations where necessary. Evidence can play an important role in all three stages in the policymaking process, namely policy agenda setting, formulation and implementation and FSDM programme findings add to these processes. The engagements are in the form of meetings however, there are other unscheduled engagements which are on either bilateral or regular update between the sector champions within DPME and Departments on sector development/forums/meetings. This information/update is then used to inform the tools review in order to align with sector norms and service standards. Over and above these arrangements, sector champions are expected to do research on the latest trends and development for each sector/department on annual basis to inform the tools review process especially with regard to the questionnaire in order for the programme to remain relevant and this is not limited to national practices. FSDM through sector engagements is also expected to give inputs through consultation process on policies based on evidence of validated concepts and experiences. These are request that come from sectors as and when there are developments of review of service delivery standards.

In summary this is how sector work is done

- Scheduled engagements (mid-year and annually reporting, annual workshop)
- Participating in sector forums
- Consultation on sector developments (policy review, standards development, standard review etc.)
- Sector research
- Bilateral / unscheduled engagements

All the above activities informs the development and review of the FSDM tools through issue log management which is done on annual basis for the programme relevance and alignment with sector specific standards for monitoring.

7.1.3 FSDM Annual Workshop

The FSDM review workshop is held annually and coordinated by DPME in collaboration with Offices of the Premier. The main purpose of the annual workshop is to review and reflect on the experiences of implementing the programme, milestones and challenges through lesson sharing with our partners being the Offices of the Premiers and the National Departments. It is proposed that for 2016/17, the workshop should consider to integrate all programmes within the PFSDM chief directorate [FSDM, Citizen Based Monitoring (CBM) and Presidential Hotline] for a comprehensive dialogue and engagement with stakeholders. This means that the annual workshop discussions will be elevated to broader frontline issues that affect the management and implementation of the FSDM, CBM and Hotline.

NB: The 2016/17 annual workshop will be held on 21 and 22 November 2016.

7.1.3.1 Strategic Levers from 2015/2016 FSDM Workshop

The core of the workshop focused on a high-level review of the programme, assessing the implementation of the programme in 2015/2016. The workshop was structured according to two themes that have been identified on numerous occasions throughout the five (5) years of implementing the programme. These two themes were:

- How can we strengthen the use of FSDM findings for visible and lasting improvements?
- How to elevate the executive and strategic commitments to frontline service delivery including improving communication about successes.

In order to address and teas-out these two themes, the workshop focussed on uncovering underlying root causes and identifying potential solutions through facilitated group discussions. These discussions are summarized below: **see the annual workshop report for more information on this.**

Thematic Key Area (to be addressed)	Proposed solutions
(i) Leadership and Executive Support	<ul style="list-style-type: none"> • Carrot and stick approach: Presenting the worst-case scenarios to the senior management, encouraging implementers to take action • Improvement plan: Ensure all FSDM findings are accompanied by an improvement plan clearly indicating what needs to be done with realistic timeframes and responsibilities • Executive roles: Support by Executives should be clear and outline deliverables; • Balanced Reporting – Reports should not just outline challenges and successes, but a comprehensive view of the state of affairs.
(ii) Programme Communication	<ul style="list-style-type: none"> • Improve the flow of information. Mapping how information is flowing from one department to another as well as feedback to citizens. • Strengthening Feedback Mechanisms - A structured process in which regular and planned feedback must be provided to the lower levels, including at the service delivery point. • Use of Multi-media – Take advantage of existing forums and mediums of communication used in government and generate new ones. Such as publication of findings, use of GCIS publications, and use of local and community radio stations. • Relationship Building – there is a need to continually strengthen the relationship and engagements between FSDM monitors and departments to drive improvements. • Popularising frontline monitoring – This can be done by communicating what the programme is about (contextualise the programme), using different government forums, communicate to lower levels, communicating with the public, ensuring that the monitors are part of the outreach agenda. • Documentation and sharing of best practices through various publications. • Triangulation of FSDM findings with other secondary data sources for validation and integration with other service delivery improvement programmes. • Transferring ownership to Facility Managers - Facility managers need to be at the forefront of presenting their findings to their respective senior management and to be encouraged to drive the improvement process forward. • Stakeholder Engagement as a Good Management Practice – This was one crucial aspect of the FSDM programme that was neglected yet it has the potential to address some of the inherent challenges facing the programme.
(iii) Planning and Resource Allocation	<ul style="list-style-type: none"> • Incorporate the FSDM findings to form a core component of the Key Performance Indicators for all managers and their departments.

	<ul style="list-style-type: none"> • Service Delivery Standards – Clearly define service delivery standards needed to be accomplished across all departments and sectors. This can then be linked to KPIs fostering consequent management. • Executive Buy-in into the importance of a functional frontline facility. • Incentive Process Awards – a comprehensive process of awarding and recognising the best innovators and performance needs to be explored. • Optimising on available resources (find an effective and efficient approach of using the FSDM limited resources to sustain monitoring of improvements)
(iv) Strategic Use of Performance Indicators	<ul style="list-style-type: none"> • Understanding the context - There is generalization of findings without necessarily looking into what are the challenges and the situation on the ground. • Standardised indicators - Queue management and waiting time, cleanliness and comfort, dignified treatment, opening and closing time (hour's basis charter), complaints management to be link to Citizen Based Monitoring. • Leveraging on existing mechanisms to ensure accountability -FSDM on its will not enforce accountability however leveraging on the existing mechanisms such as service delivery improvement programme from DPSA, DPME and OPSC. • Coordinated approaches - Ideas of partnering with National Treasury and AGs office to enforce actioning of findings should be explored. • Dashboard approach – Constantly highlight progress at particular intervals. The approach of annual reports might not be sufficient as it is often too late. Further it was proposed that the 'dashboard' should also form a mechanism of sharing levels of responsibilities;
(v) Training and Capacity Building	<ul style="list-style-type: none"> • Communication Training – to enable implementers to disseminate findings effectively • Sector Specific Trainings - training of monitors in different mandates and sector norms and standards to ensure alignment and appreciation of sector issues. • Leadership Development Training - A need to go beyond the current approaches to training, such as exploring of short accredited courses targeted at different levels and training on stakeholder engagement.
(vi) General Improvement Options	<ul style="list-style-type: none"> • Elevating issues of infrastructure that sit with the Department of Public Works public works to a central level. • Annual review of SLA between and private security companies. • Strengthening existing coordinating boards • Continue to leverage DPME technical and policy support. • FSDM teams to continue to provide technical support to the provinces and the sector teams. • Rotate national review meetings - Another notable suggestion was that the national review meeting should be rotated. In this case each province should be able to convene the national review meeting. • Buy-in of leadership incentive processes awards/ league tables. • Reporting on the state of facilities by OTP - It was also suggested that it is important to have the State of the Province address that highlights progress and that should also be

	<p>taken as an opportunity to highlight the FSDM findings by presenting the state of the facilities. This is a mechanism intended to address two issues;</p> <p>(i) Make findings public – enables some form of citizen monitoring</p> <p>(ii) Findings to be posted for all to see</p>
(vii) Mainstreaming & elevation to Strategic Operations	<ul style="list-style-type: none"> • Standardization of processes through dashboard mechanism with an agreed set of numbering and coding system to improve efficiency at service points. • Development of a Blue Print – the absence of a blue print to guide sectors and OTPs on how to mainstream and elevate information for strategic operations was identified as a shortcoming.

It is very critical that as we implement the 2016/17 JAP that we take into consideration the proposed roadmaps and potential solutions as recorded from the annual workshop, particularly in elevation and strengthening the programme on the ground.

7.1.4 Targets and facilities selection criteria for 2016/17 implementation (baseline and improvement monitoring)

The facility selection criteria for 2016/17 will be based on the 90 baseline monitoring visits, 100 improvement monitoring visits and 20 unscheduled monitoring visits. For 2016/17 we have been requested to include the monitoring of the National Youth Policy (NYP) in line with the mandate of the department (DPME). The initial plan is to start with the monitoring/assessment of few facilities in each province in order to gain understanding of what appropriate approaches and monitoring tools can be used to monitor and facilitate the implementation of the NYP. For 2016/17 the monitoring of NYP will be conducted within 27 facilities countrywide out of the 90 baseline target; this means 3 facilities per province will be assessed in line with the NYP. Further to this only 100 facilities will undergo improvement monitoring with the additional 20 facilities scheduled for unplanned monitoring visits (this can be monitoring visits in response to the needs of our executive or service delivery crisis. The 20 unscheduled monitoring visits will be purely demand driven.

7.1.4.1 Selection criteria for baseline facilities

Selection of facilities for baseline within each province will be guided and not limited to the following:

- 90 baseline monitoring visits must be planned jointly, of which 27 will have a focus on the implementation of the NYP (10 monitoring visits per province).
- Special priorities identified by DPME or Offices of the Premiers' on service delivery improvements.
- Representation of the FSDM sector departments.
- Service delivery complaints logged in the Presidential Hotline.
- Districts and local municipalities in terms of the geographical spread which did not receive any coverage of the programme, within the available resources.
- Government structures and youth organisations involved in the implementation of the NYP.

Provinces are encouraged to do more than the planned joint monitoring visits in order to increase coverage and sample size, although these will mostly be without DPME resources. These monitoring visits are expected to be subjected to the same level of FSDM quality assurance.

7.1.4.2 Selection criteria for improvement facilities

Selection of improvement monitoring facilities/sites within each province will be guided and not limited to the following:

- 100 improvement monitoring visits must be planned for joint implementation.
- Performance of the facilities that were subjected to improvements monitoring during 2015/16 and did not show progress in the implementation of their respective improvement plans.
- Performance outcomes of the 2015/16 baseline monitoring findings based on scores with three (3) or more poor (1-1.4) average ratings of citizens and monitors per KPA ratings for each facility. This is illustrated in the example below using location and accessibility, visibility and signage, queue management and waiting times, cleanliness and comfort, safety and complaints management as average KPA ratings for three different facilities:

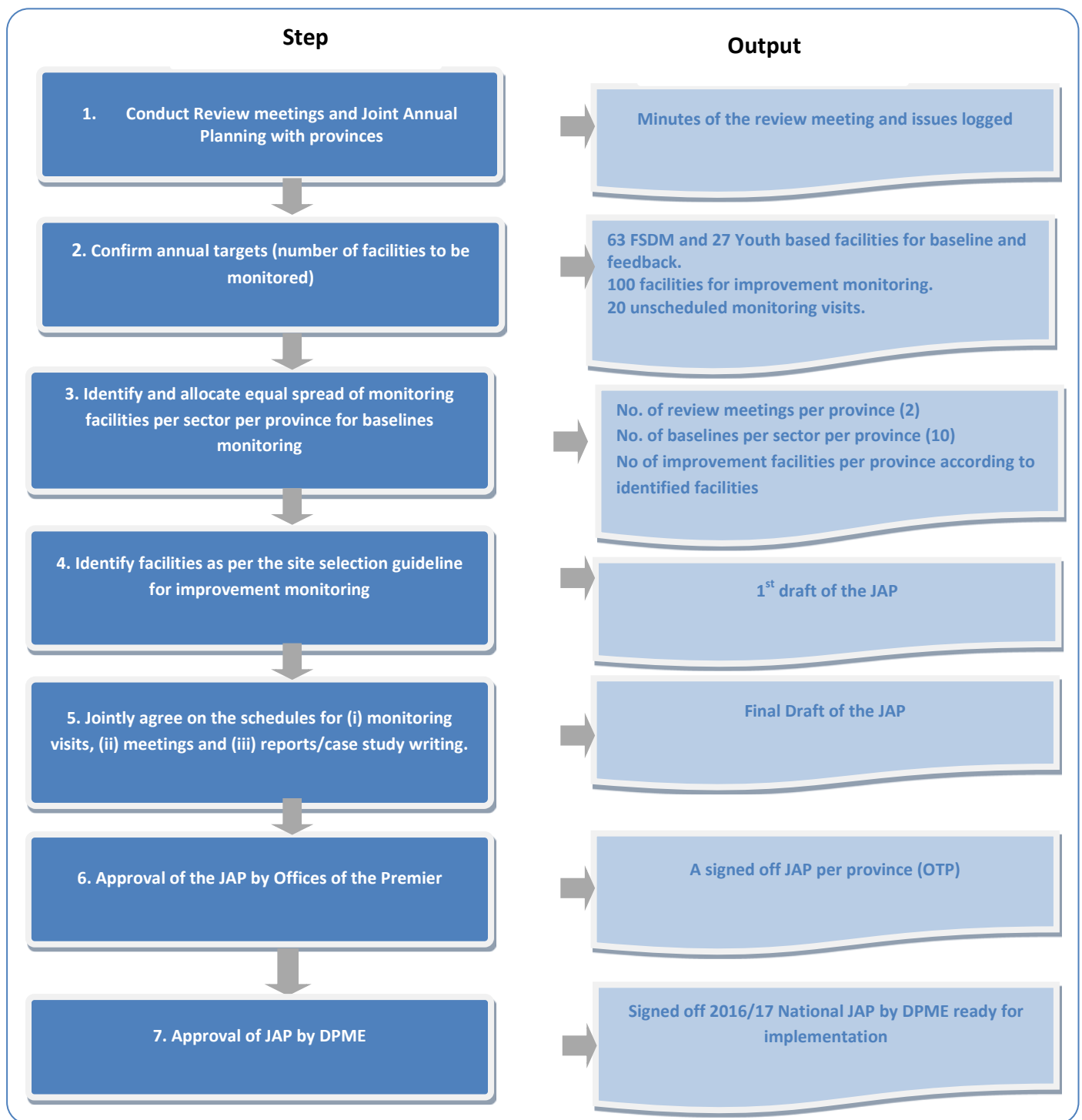
Figure 3: Selection Criteria for Improvements Monitoring Facilities in 2016/17

2015-16 New Visits			Citizen								Monitor								FACILITY AVERAGE
Province	Sector	Facility	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	
Eastern Cape	Education	Mbambeni Senior Primary School	1.7	1.0	1.7	2.7	1.3	1.3	2.7	1.0	1.5	1.0	1.5	3.0	1.0	1.5	2.0	1.0	1.6
Free State	MCCC	Naledi MCCC	2.0	1.0	2.7	3.0	1.0	1.3	2.3	1.3	1.8	1.0	1.3	2.8	1.0	1.0	1.5	1.0	1.7
Kwazulu Natal	SASSA	Richards Bay SASSA	1.0	1.0	1.0	3.0	2.7	2.7	3.0	1.0	1.3	1.0	1.3	2.7	3.0	2.0	2.7	1.3	2.2

- Facility findings that require close monitoring including issues that affect the effective delivery of their core services based on the qualitative information on the summary report but do not meet the selection criteria based on scores (Provincial coordinators/monitors are encouraged to motivate for such facilities based on their field experience).
- Monitoring visits responding to service delivery challenges identified spontaneously.
- Facilities that have fully implemented their improvement plans and have sustained improvements since the baseline will not be included for re-monitoring in 2016/17.

A detailed list of these facilities is contained in the Joint Annual Planning guideline including facilities that have been removed and those that will be carried over for continuous monitoring. Although new facilities selected for improvements monitoring are emanating from 2015/16 implementation, there are some that have been identified from the previous years of monitoring.

7.1.4.3 Process map for facility selection and approval of the JAP for DPME & OTP



7.1.5 Approach to overall FSDM Joint Planning 2016/17

The Joint Annual Plan, which flows out of the planning and review sessions, is the detailed technical planning for the new financial year. It assists monitoring teams to pull different perspectives into a common understanding and allocates resources accordingly for each province, and the FSDM programmer as a whole. The following table highlights all the cycle of events for the programmer with time lines and outputs for joint implementation by both OTP and DPME collaboratively.

Figure 4: FSDM Planned Annual Programme and Cycle of Events for 2016/17

FSDM Activity	Objectives	Timelines	Outputs
1. Programme planning and review			
a. Programme planning- consultations, development and approval of Joint annual plans – DPME & OTPs	<ul style="list-style-type: none"> To have a joint annual plan of all FSDM activities between DPME and OTP, including non-joint activities. To have a joint annual planning meeting 	Jan 2016 – Mar 2016 20-21 February 2017	Approved 2016/17 joint annual plans by OTP and DPME.
b. Programme review meetings	To touch base on the management and the implementation of the programme	Sep 2016 – Feb 2017	Programme review minutes and attendance registers Issue log
c. Annual review workshop	To review and reflect on implementation and management experiences in order to improve the programme	21-22 November 2016	Workshop report
d. Training of Monitors	To capacitate monitors on the FSDM tool kit	Jan 2017 to Mar 2017 and Ad hoc.	List of trained monitors / Attendance registers
2. Programme Implementation			
a. Baseline Monitoring assessments (unannounced & feedback)	To assess the baseline status of frontline facilities, provide feedback to facility management and plan for improvements management	Apr 2016 – Dec 2016	Summary reports and Improvement plans
b. Improvement Monitoring (meetings & verifications)	To re-assess the poor performing facilities and track progress against the improvement plans	Apr 2016 – Feb 2017	Progress update on improvement plans (Minutes of meetings and verification reports with pictures as evidence)

3. Data Analysis and reporting			
a. Quarterly reports for sectors and provinces.	Presentation and reporting on findings for decision making.	7 working days after close of a quarter	9 provincial reports/ 9 sector reports/ One overview report.
b. Mid-year and annual reports for sectors and provinces.	Presentation and reporting on findings for decision making.	Oct 2016 – Mar 2017	9 provincial reports/ 9 sector reports/ One overview report.
c. Facility reports	Documentation of facility findings and data collected in a structured way	After a monitoring visit has been concluded	Brief reports for executives, Summary reports and Improvement plans
d. Facility data analysis: can be a Facility, sector, Province level as well as on the other categories such as gender, KPA, info source (citizens, staff and /or monitors).	Presentation and reporting on findings for decision making/use and inputs into planning for the next financial year	As per request	targeted reports
4. Knowledge Management			
a. Practice notes on the FSDM findings	To identify, document experiences and practices during the monitoring assessments. These may be on a specific indicator within the FSDM and not limited to the following strategic levers: <ul style="list-style-type: none"> • innovation, • leadership and empowerment, • stakeholder involvement, • regression after improvement. 	continuous	Minimum of 18 practice notes from interesting findings during monitoring assessments.

b. Development of case studies at least 2 per year	To share learning and experiences. Case studies are critical in bringing out key qualitative information from a facility/ sector that are not necessarily captured elsewhere. They are useful for setting standards operational procedures for improvements of service delivery	Annually	2 case studies published.
c. Updates/newsletter – communicating the programme activities and Executive engagements with the community.	To document news worthy and programme implementation progress that can be communicated to external stakeholders such as other government departments and communities at large through publications.	Quarterly	Quarterly updates/ newsletter
d. Creating database of all the facilities that have been visited.	To have a reliable repository of the monitoring visits conducted both jointly and non-joint. Of critical is the non-joint monitoring visits.	Continuous	Monitored Facilities database

7.1.6 Review of Tools and Approaches

As part of the ongoing refinement of the programme, a project was initiated in 2014 to realign the programme’s tools and assessment processes with best practices. This project culminated in the FSDM Quality of Standards Assessment Framework. This framework consists of three components which ultimately redefined the assessment approach of the programme. It serves as a resource to stakeholders, both internally and externally, in conducting monitoring of frontline service delivery standards. The three components of this assessment framework are:

(i) The FSDM Rating Manual: This document elaborates on the processes utilized in assessing standards of frontline service delivery. It details the steps necessary to make an objective assessment of a facility based on generic and sector specific service standards, and how to implement the FSMD Tools;

(ii) The FSDM Assessment Tool: This document is used to conduct the actual assessment of a facility in terms of service standards. The facility is assessed, and rated, across all key performance areas based on a very specific, objective and progressive scoring system that allows comparison over time.

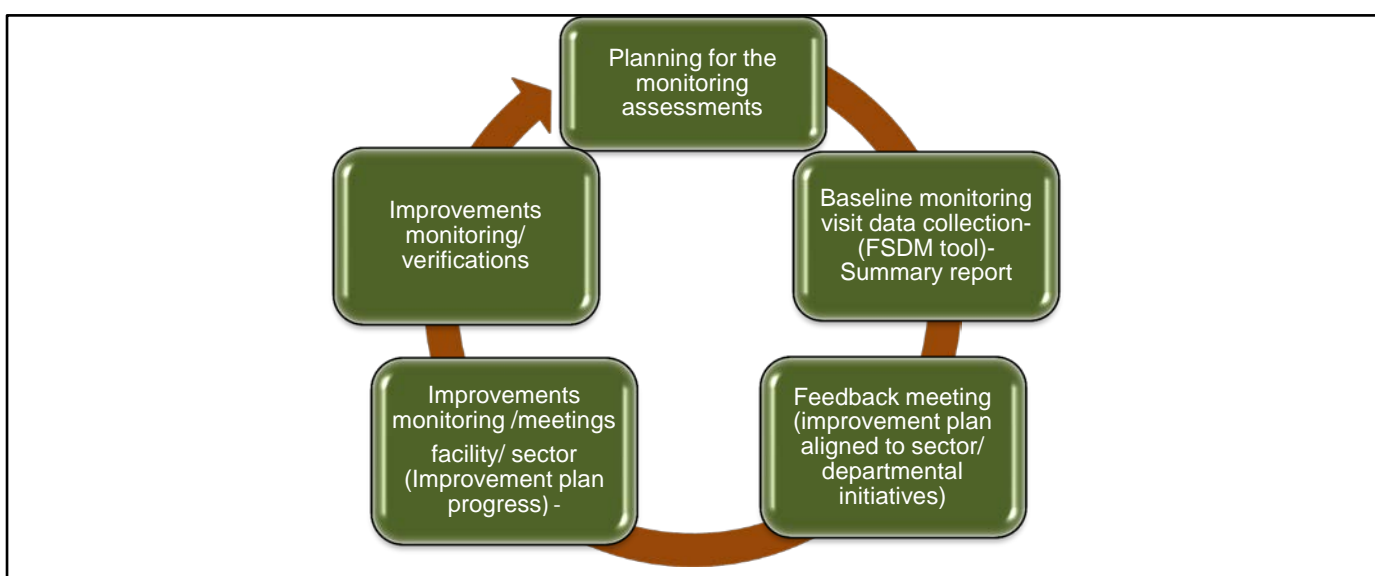
(iii) The FSDM Guidelines for Standards Development and Monitoring: This document provides clear, step-by-step instructions to sector departments and other stakeholders on how to develop reliable, objective, measurable standards for measuring service delivery and how to monitor these. It uses FSDM as an example.

7.2 Implementation of Monitoring Visits

The FSDM visits or activities consist of two main processes i.e. Baseline Monitoring and Improvement Monitoring. This framework is intended to provide guidance on the implementation of the monitoring visits based on the following core principles:

- **Accountability:** sector departments remain responsible for implementing corrective actions. This is to ensure ownership of the improvement plan, ownership of the corrective actions implemented and to ensure that the changed behaviours being sought through this process actually have a lasting impact on how the responsible departments plan, implement and monitor.
- **Collaboration:** During implementation, the DPME provides oversight and monitoring of the implementation that is undertaken by line departments. In instances where the findings warrant immediate action, a task team is set up to drive the planning and implementation process. This forum consists of facility management, regional stakeholders, DPME and OTP and can bring the private sector and CBOs into the process of seeking solutions.
- **Leadership:** DPME and OTP will provide leadership throughout the monitoring visit processes and OTP will involve executive principals within their provinces in order to speedily implement the improvement plans.
- **Approach:** DPME will focus on the stakeholders in each sector and provide them with exposure of the management, leadership and decision-making styles needed to implement corrective actions quicker. OTP will also need to focus on driving the implementation of improvements within their provinces through utilising existing reporting structures to drive the implementation processes within their provincial line departments.
- **Sustainability:** In facilitating improvements monitoring initiatives, DPME will strive for sustainable improvements to service delivery. This involves encouraging departments to take ownership of the improvements plans to increase the probability of sustainability. In this instance, DPME will provide and facilitate the development of improvements and not drive the complete development and implementation process. DPME will monitor the implementation of improvement plans and track improvements in scores.

Figure 5: FSDM Monitoring Protocol/Process



7.2.1 Implementation responsibilities of the FSDM Programme between DPME and OTPs

Close communication and consultation between DPME and Offices of the Premier is necessary throughout the implementation of the programme with reference to the following roles responsibilities.

DPME:

- a) Design, review and maintain the monitoring tools and protocols in consultation with OTPs,
- b) Provide training of monitors (train the trainer approach)
- c) Jointly conduct the monitoring assessments with OTPs and sectors.
- d) Management of the logistical arrangements (travelling & accommodation, programme implementation documentations: agendas, attendance registers, communication to National Departments, questionnaires, improvement plans).
- e) Communicate findings to National HODs, MinMEC and other relevant forums to action the findings. It should be standard practice for such reports to reach the national management, as key decision makers within a department/sector.
- f) Monitor adherence to agreed improvements plans at national level to manage and sustain improvements.
- g) Liaison with national departments on progress status of facilities that have been removed from the improvement monitoring list at least once in a financial cycle.
- h) Analyse findings and report to National Sector departments, G&A Cluster, Cabinet, Presidential Coordinating Committee and M&E forums (on request).

Offices of the Premier (OTP):

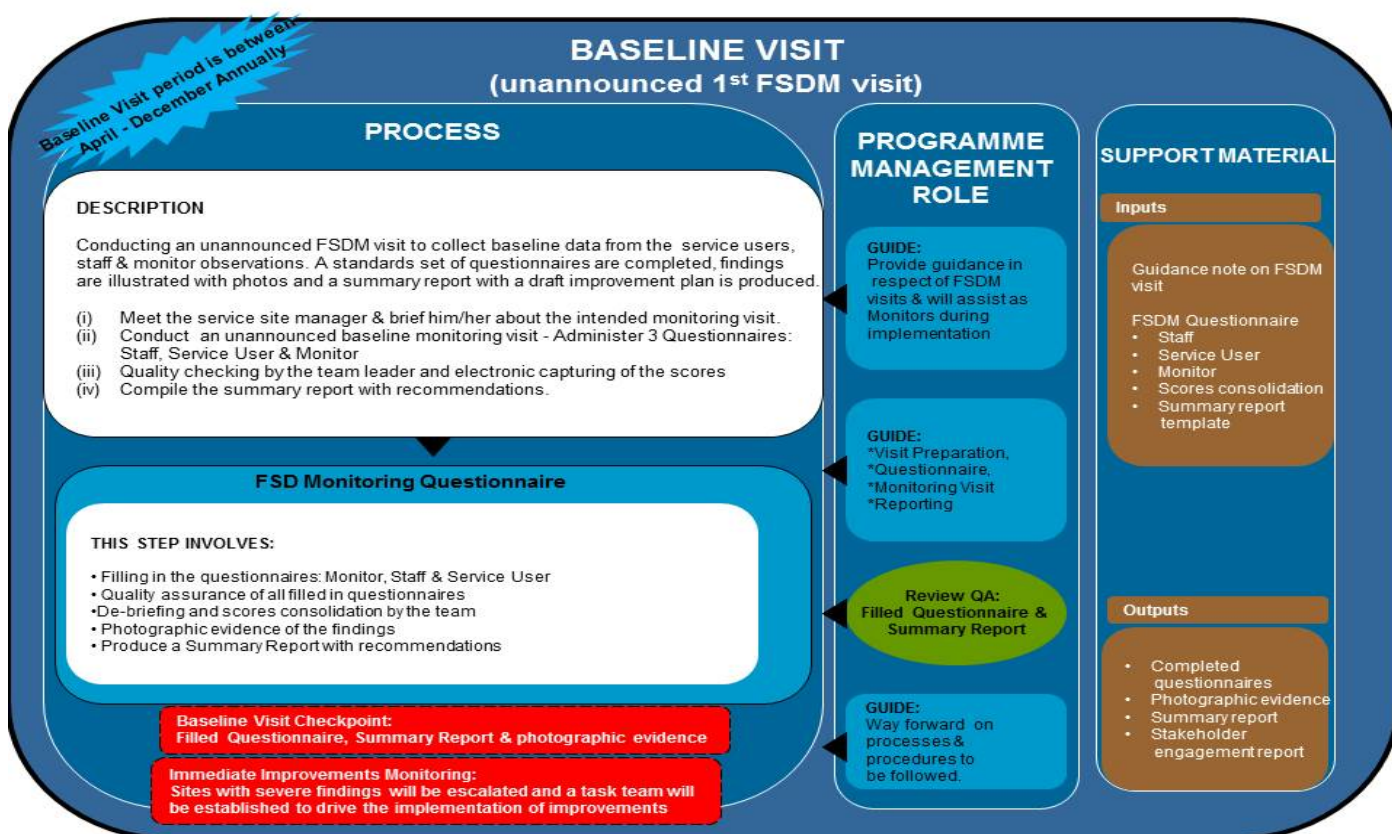
- a) Contributes to the inputs and the design, review and refinements of the monitoring tools and protocols.
- b) Provide training to field monitors.
- c) Jointly conduct the monitoring assessments with DPME and sectors.
- d) Management of the logistical arrangements:
 - Travelling and accommodation
 - Programme implementation documentations: agendas, attendance registers, communication letter to facility management, questionnaires, improvement plans,
 - Invitation and confirmations of stakeholders for meetings,
 - Communication of the monitoring findings to facilities and facility management
- e) Communicate findings to provincial HODs and MECs and other relevant forums to action the findings. It should be standard practice for such reports to reach the provincial management, as key decision makers within a department/sector.
- f) Monitor adherence to agreed improvements plans at local and provincial level and facilitate sector engagements to manage and sustain improvements.
- g) Analyse findings and report to provincial management structures.
- h) Continue to monitor facilities that have been removed from the improvement monitoring list at least once in a financial cycle and share progress with DPME.

In preparation for the monitoring visits, a travel motivation indicating the planned visit logistics and monitoring teams is to be sent to the programme manager for approval, a month before the visits based on the approved annual schedule.

7.2.2 Baseline monitoring: unannounced monitoring visit

Baseline monitoring visit is the initial unannounced monitoring stage to the targeted service delivery facility aimed at assessing the baseline status of a facility in line with the quality of service delivered as per the defined standards of quality of services within that specific facility. Baseline data collected and compiled must describes the situation with proposed corrective recommendations for any areas that requires improvement. This will be documented in the **summary report template**. The content of the JAP should remain confidential to protect the unannounced nature of some of the visits. The monitoring visits are conducted jointly by DPME and OTP led by an official from one of these offices.

Figure 6: Unannounced monitoring visit

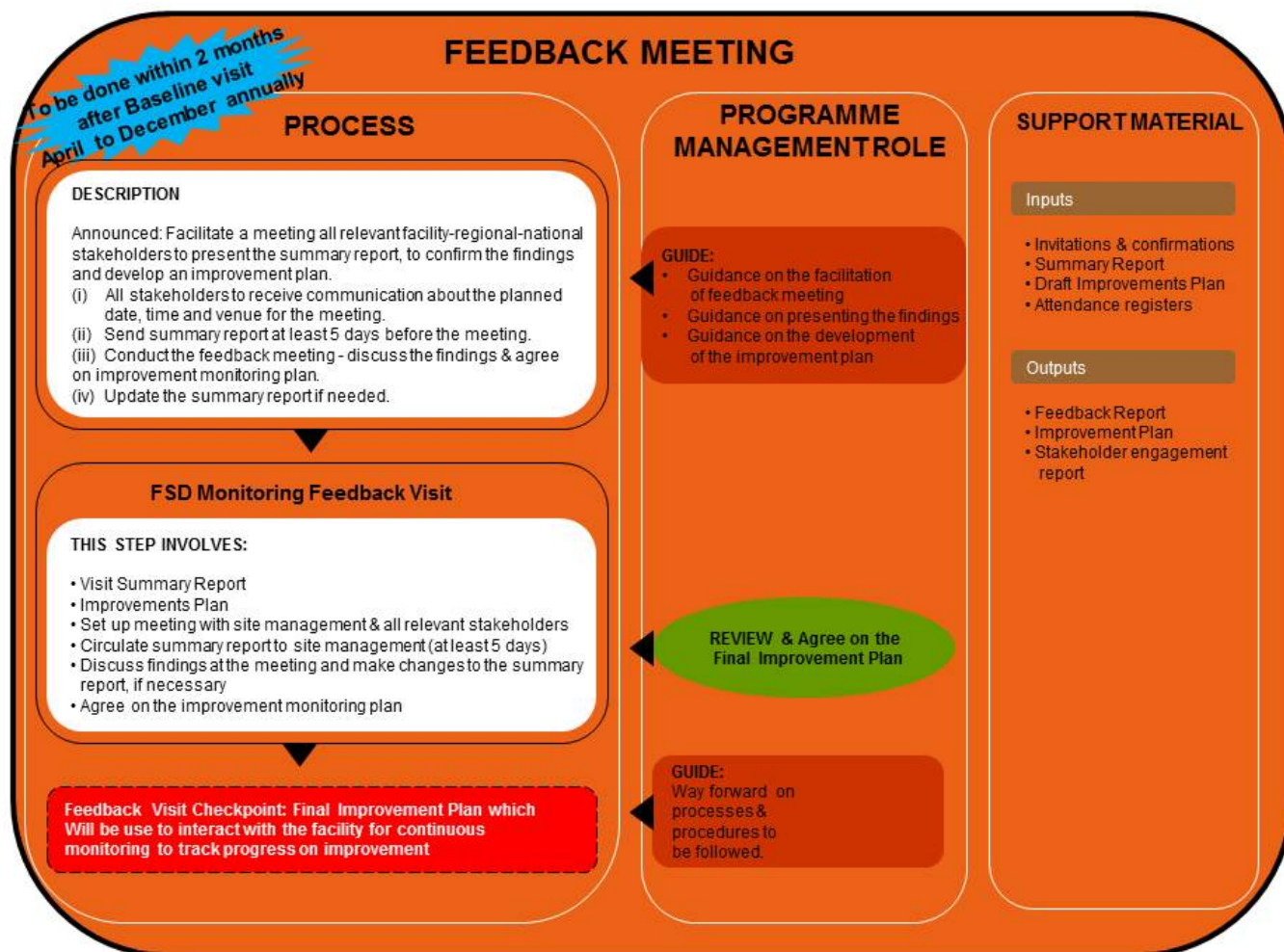


7.2.3 Baseline Monitoring: Feedback Meeting

Feedback meeting refers to the communication of the findings generated through the unannounced monitoring visit to the relevant facility management. It should be held within two months after the baseline visit. The feedback process is aimed at verifying and presenting the findings of the baseline monitoring, agreeing on the recommendations for improvements with descriptions of activities to be undertaken, budget allocation and timelines (**facility improvement plan**), which must be aligned to other sector/provincial/national departmental service delivery improvement initiatives

(SDIPs). Feedback meetings are a critical part of the implementation process as they reflect on the findings of the baseline visits undertaken already and create a platform to work together with facility management on improving the quality of frontline service delivery. It should be standard practice for such reports to reach the highest level of management, to afford key decision makers within a department/sector to account for implementation of the agreed plans. (It should also be noted that unannounced monitoring visit and feedback meeting completes a monitoring process).

Figure 7: Feedback Visit



The feedback meeting is normally held between the facility management and relevant sector stakeholders like provincial and regional offices; however, different approaches to maximise the benefits of this meetings (sector approach, for instance) can be accommodated as long as the planning process set out above is adhered to.

The facility visit planning schedule stipulates that every baseline visit should have a planned feedback meeting and reports should be compiled per facility since some of the findings differ from one facility to the other.

Once the findings have been discussed in the feedback meeting, an agreed improvement plan to address identified weaknesses is developed as the basis for ensuring improved service delivery across all government facilities. A feedback report is compiled to summarise discussions of the feedback meeting and contain agreed action items in the form of a final improvement plan.

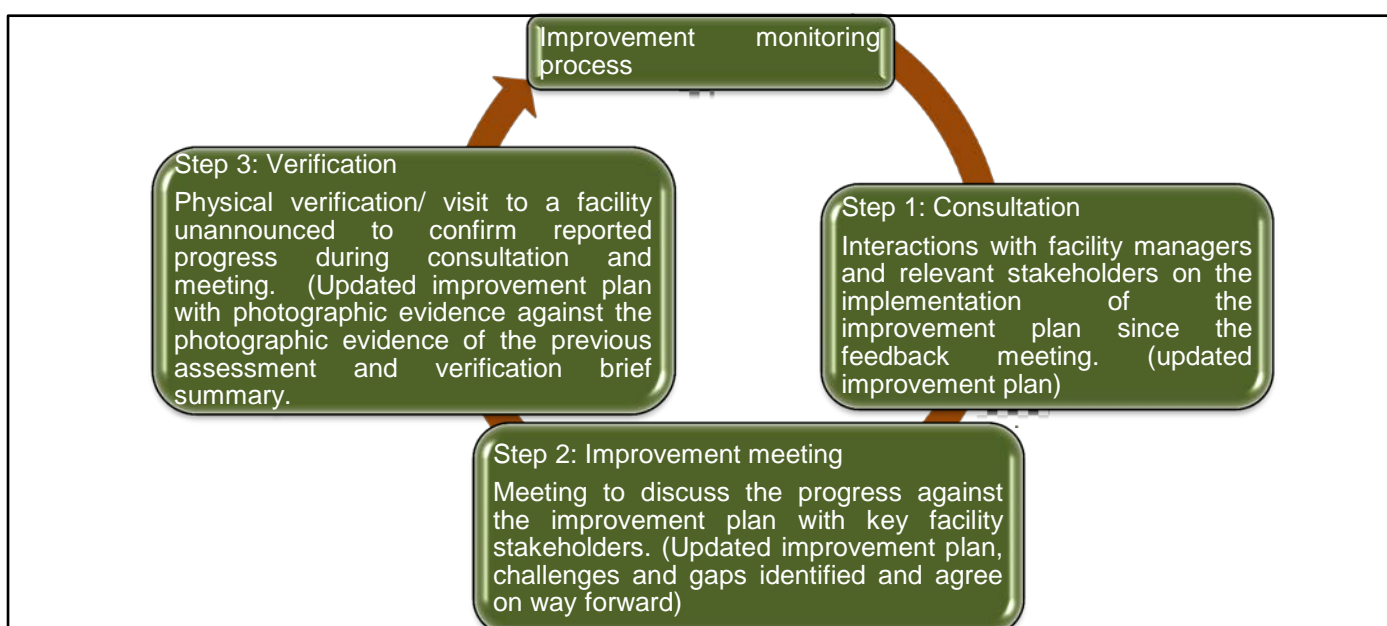
Given different approaches in conducting feedback meetings, it is critical that the application of any method is aligned to the programme framework and related tools.

7.2.4 Improvements monitoring

Monitoring of improvements is an integral part of monitoring and evaluation, and every facility should be doing this. Due to the resource-intensive nature of monitoring, a targeted approach is used in selecting facilities that should be monitored, as it is impossible to do improvements monitoring for all the facilities, although it is encouraged. Therefore, the methodology is not fixed and OTP can choose to select more facilities than use a targeted number as per the JAP. Improvements monitoring is therefore a re-assessment and consultation stage as guided by the baseline monitoring. The objective of FSDM in improvements monitoring is to facilitate improvements in the performance of targeted frontline service delivery facilities and to drive the implementation of improvements at those facilities targeted for improvements monitoring due to poor findings. The focus is on facilitating a culture of change in government towards increasing use of evidence in policy making, planning and monitoring to inform improvements to plans and policies. This entails behavioural change on the part of all stakeholders, which, when applied appropriately, it seeks to uncover systemic issues while also acknowledging good management behaviour. Despite developing these plans with the assistance of the DPME, the responsibility for implementing the corrective measures remains that of the line departments, with the Offices of the Premiers providing oversight.

Improvement monitoring is applicable to facilities that have been selected due to their poor performance as per the Improvement monitoring criteria. In addition to poor performance other facilities are subjected to improvement monitoring as requested by the departmental executives. The severity of the findings will however determine the level of improvements monitoring oversight required over the implementation of improvement plans. An improvement monitoring process will take place latest six months after the baseline monitoring except in situations where and urgent intervention is required. This process will take place in three independent but related steps and processes i.e. consultations, improvement meeting and verification.

Figure 8: FSDM Improvement Monitoring Protocol/Process



7.2.4.1 Consultations

Commencing engagement at an early stage is critical in building trust, mutual respect and in establishing relations with all key stakeholders as identified in the improvement plan. This facilitates and supports the implementation of the agreed plans (activities) and that they are implemented timeously. This process serves as an important tool for tracking progress throughout the improvement monitoring and a build-up process to an effective improvement meeting. Coordinators/monitors should be sourcing regular updates to the improvement plans activities from key stakeholders that may be affected. A proactive approach to consultation with key stakeholder will most likely foster the implementations of the improvement plans for improving the quality of service delivery in facilities. This will be a continuous process between and with a sector/facility until the issues pertaining to frontline service; overall service delivery challenges and improvements are achieved to the entire satisfaction of all stakeholders, especially the communities as well as adherence to the service standards in place.

7.2.4.2 Improvement Meetings

This is a pre-arranged engagement with all stakeholders focusing on problem solving, uncovering of systemic challenges, root cause analysis and confirming of short, medium, and long term improvement actions. This process can be conducted in either one of the two methods:

- a) One facility improvement monitoring meeting; where discussions are based on one facility. This approach focuses on one facility and its improvement plan activities, it allows for on-site verification of the items reported on and completed/achieved in the improvement plan. In instances where items have not been implemented, motivation and mitigations should be documented and items/activities that have been implemented should be signed off at this meeting. An improvement monitoring reporting template must be used in this meeting to track progress against the activities in the improvement plan.
- b) Cluster of facilities within a sector improvement meeting; this approach is commonly referred to as the sector approach/meeting. 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 and challenges in all the identified facilities. Each facility improvement plan is presented and discussed. In instances where items/activities have not been implemented, motivation and mitigations should be documented and items/activities that have been implemented should be signed off at this meeting. An improvement monitoring reporting template must be used in these meeting to track progress against the activities in the improvement plan for each facility.

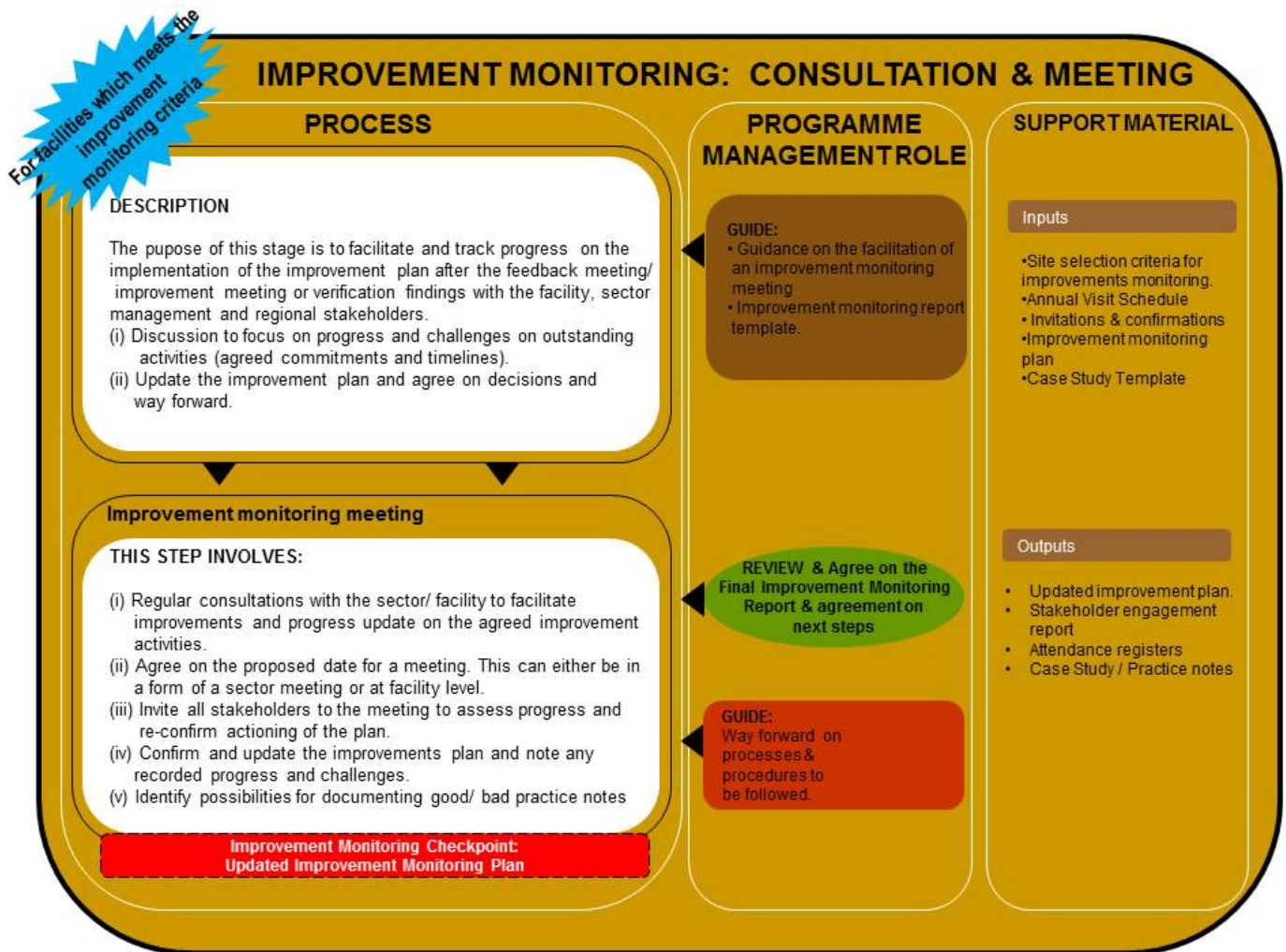
The announced improvements monitoring meetings should take place at least six months after the baseline monitoring visits. This is to ensure that enough time is allocated for the line departments to institute corrective measures as detailed in the improvement plans.

The announced improvements monitoring meeting should focus on tracking the progress of the improvement plans that were developed as part of the feedback meetings and unearthing systemic challenges that may be hampering progress. The following stakeholders should be invited to be part of this meeting:

- Facility management;

- Department of Planning, Monitoring and Evaluation / Office of the Premier;
- District or regional management;
- Provincial management or a representative of provincial management; and
- Officials responsible for action items on the improvement plan (unless they are part of the facility management).

Figure 9: FSDM Improvement Monitoring Consultation & Meeting



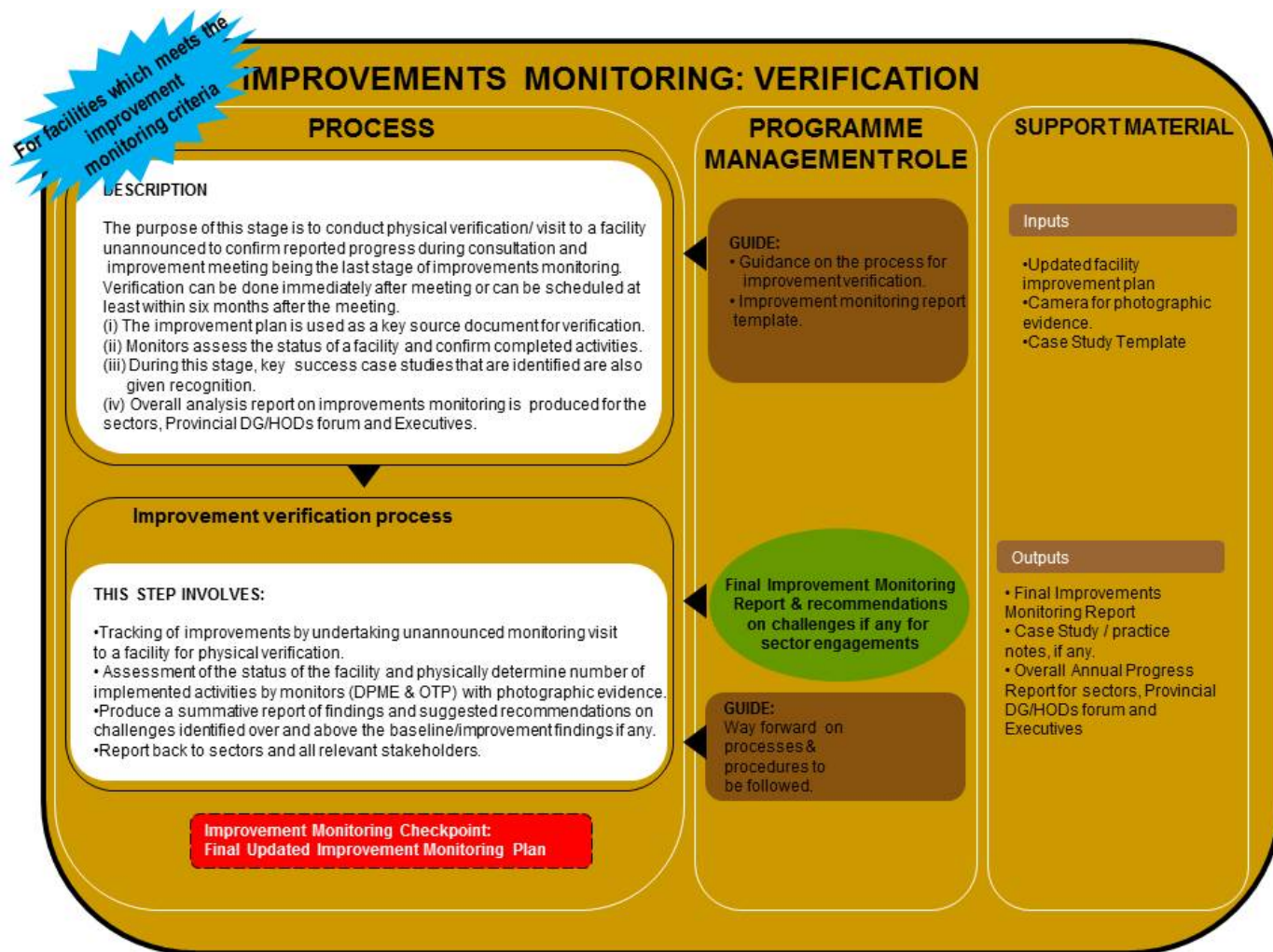
7.2.4.3 Verification

In the verification process, the improvement plan will be the key reference document to track progress on the performance areas to confirm action items that have been completed. This process will be used to assess the status of a facility and physically determine the number of activities implemented. The monitor/coordinator will then produce a summative report of findings along with suggestions to improve progress and challenges identified over and above baseline/improvement findings if there are any. In case a facility has fully implemented activities and recommendations as per the improvement plan and has shown sustained improvement over a three year period of monitoring, it can be recommended for removal in the DPME monitoring system and handed over to the OTP for ad-hoc monitoring to avoid regression. As the improvements monitoring visits for verifications are unannounced, only the

DPME and the Office of the Premier are part of this visit. Facility, district and provincial management will be forwarded the verification findings within seven days of the unannounced improvements monitoring visit.

During verification visit, the monitor verifies the progress as reported by the facility during the improvements meeting. This means that the monitor looks at the evidence for each of the improvement activities that the facility has implemented. The monitor then updates the improvement plans accordingly, indicating progress or lack thereof.

Figure 10: FSDM Improvements Monitoring Verification



7.2.5 Approach to continuous monitoring for facilities that have been removed from the FSDM list

Facilities that have fully implemented their improvement plans and have sustained such improvements since the baseline over a three year period will not be included for re-monitoring in 2016/17. These facilities will be handed over to OTP for continuous monitoring and oversight to avoid regression guided by the following:

- a) Alongside the DPME driven improvements monitoring processes, OTPs should facilitate the improvements monitoring processes through the existing provincial structures (DG/HODS Forum) to fast track the implementation of improvement plans. OTP will have to continue with the monitoring/support to these facilities on ad-hoc basis to avoid regression.

- b) This involves reporting on the improvements monitoring processes at the DG and HODs forums. The FSDM provincial reports, baseline facility reports, feedback and improvements monitoring engagement reports are to be used to provide progress at these forums.
- c) The process to monitor/support facilities should be informed by the FSDM improvements monitoring guidelines and tools including quality assurance and reporting.
- d) It is important that ah-hoc monitoring is documented and planned for by OTP and the update/s on the facilities that have been handed over to OTPs for improvement monitoring will be required on annual basis.

Improvements monitoring facilities with severely negative findings following a baseline visit will be immediately (within a month) followed up for the development of corrective measures and for setting up a task team to drive the development of the improvement plans. Facilities with severe findings will consist of:

- Facility findings which indicate total operational system collapse and findings that are not the norm for the sector;¹
- Facilities with severe findings with scores of only poor and fair in all eight key performance areas; and
- Facility findings, including the state of buildings and the internal and external environment, warrants immediate action as it poses a health and safety risk to the lives of citizens and staff.²

Improvements monitoring processes for facilities with severe findings are outside the normal Frontline Service Delivery Monitoring exercises and will be driven by a task team consisting of the DPME and the Office of the Premier, facility management and regional 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 department is responsible for the implementation of improvements while the DPME and the Office of the Premier will provide leadership to drive the planning process and oversight over the implementation process. The implementation of service delivery improvements will also depend on the availability of budgets in the implementing department.

7.3 Data Analysis and Reporting

7.3.1 Data Analysis

Data Analysis is done at various levels, ranging from facility level to national level. The data is utilized to develop a comprehensive picture of a particular facility. The combined data of facilities are also utilized to analyse and describe the performance within a specific province, across a specific sector, as well as in a national overview that is presented to Cabinet.

These scores are consolidated into a database where a facility's performance is tracked over several reporting periods. This enables the comparison of scores to indicate whether a facility has regress, improved or stayed the same across the reporting cycles.

¹ The site operates totally differently from the expected norm, for example a SASSA office that has no grants application processes in place or pay-out system administration.

² For example, black water leaking into the service site, collapsed and leaking ceilings and piles of solid waste littering facilities.

The data is also utilized to identify and monitor trends across several reporting periods, to reflect on the impact of the programme, and to steer its strategic decision making. In keeping with the themes of Outcome 12, the data is used to actively encourage an improvement in the quality of service delivery at facility level.

7.3.2 Reporting

DPME and Offices of the Premier are jointly responsible for drafting and finalising the summary reports, feedback reports and improvements monitoring reports after every visit/engagement with a facility. These reports must be submitted to the facility management the soonest after the monitoring visit, preferably within 7 working days after a monitoring visit has been conducted. In addition to the above, DPME will produce provincial quarterly, mid-year and annual programme reports informed by the provincial quarterly reports which will be submitted to DPME through respective provincial coordinators. Programme reports will include findings of joint visits as well as visits that were not done jointly (only monitoring visits, that meets the joint quality assurance standard will be considered for reporting and analysis purposes). The reports will be submitted to Offices 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. As part of promoting integration and comprehensive reporting, the Presidential Frontline Service delivery Chief directorate (FSDM, CBM and Presidential Hotline) will produce a comprehensive annual report for 2016/17 activities.

Figure 11: FSDM Analysis and Reporting

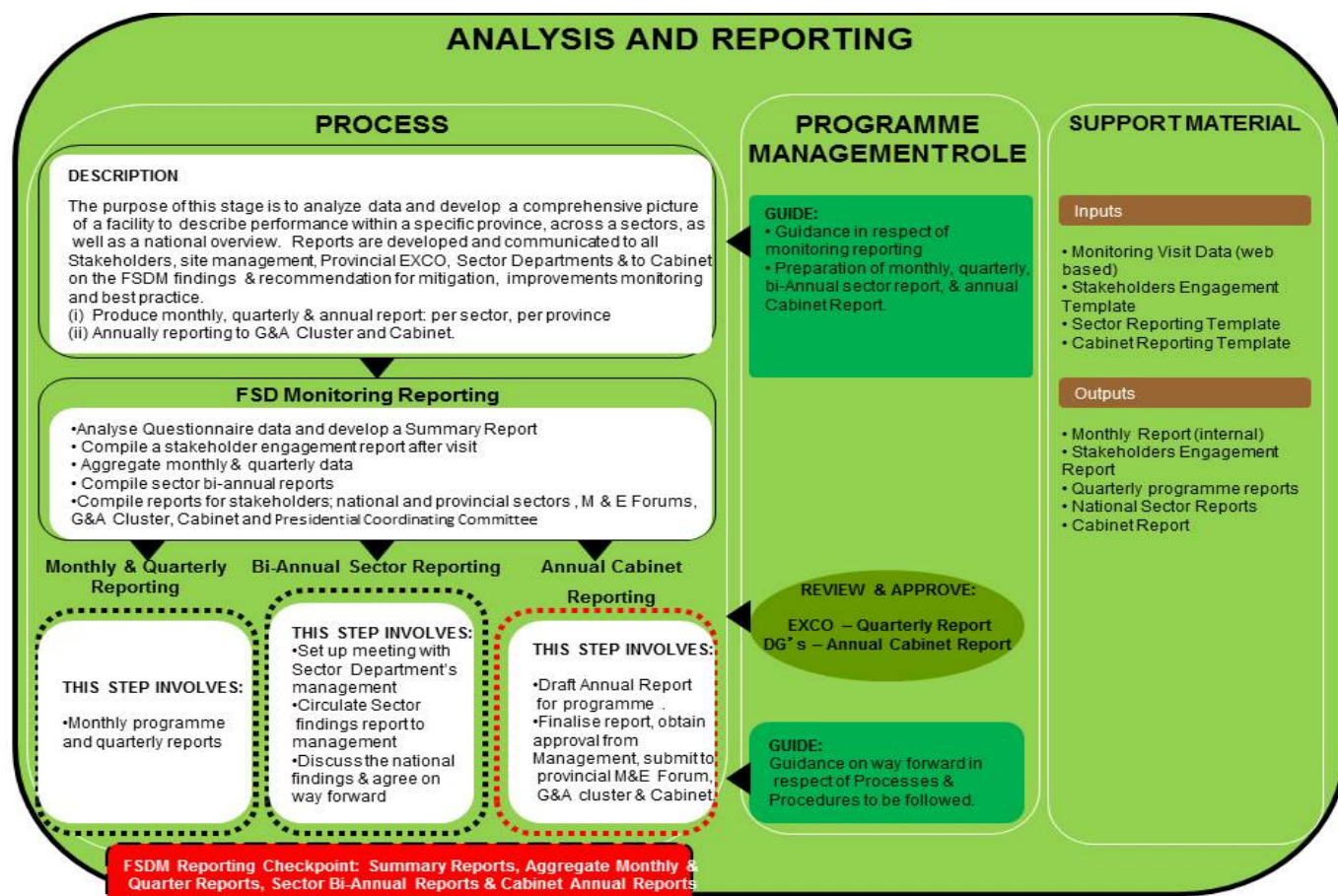
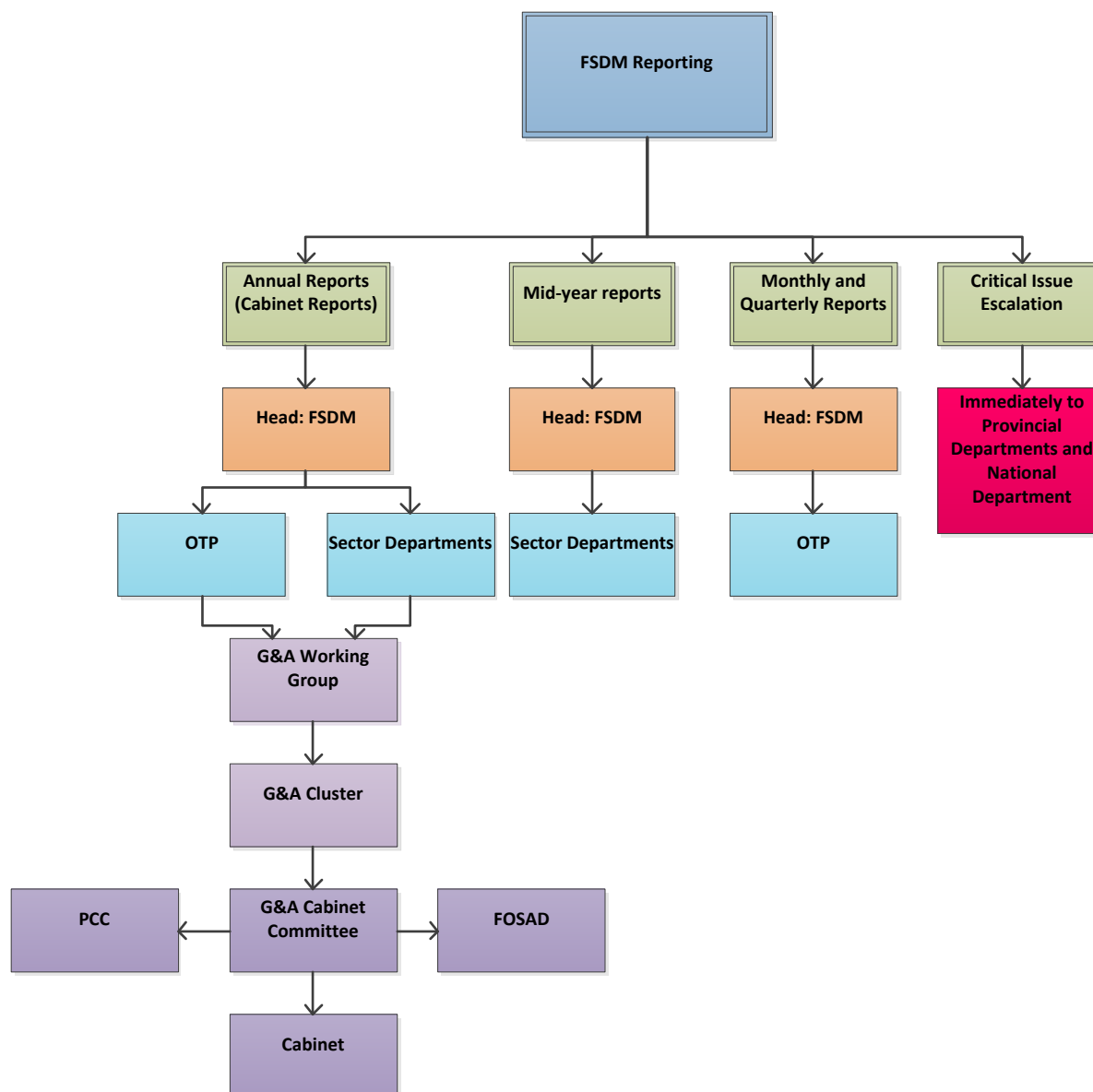


Figure 12: FSDM Reporting Flow



7.4 Knowledge Management and Communication

Apart from the reports written regularly, the Programme also produces several knowledge products aim at sharing practices, developments and findings in the field of frontline service delivery. Field-level practices are observed by the monitoring teams throughout the monitoring visits and documented as improvements case studies. These include the use of innovative systems and tools, good working partnerships, collaboration between service facilities and the private sector and users and inspiring managers and staff. These can be documented, using the short stories template and case studies.

Knowledge management is essentially about facilitating the processes by which explicit knowledge (structured or unstructured) is created, shared and used in the form of guidelines, standard operating procedures, case studies, good practice notes, lessons learned and research findings to link people with information. It is important to note that the aim of knowledge management in the context of FSDM is to manage all knowledge available which is important to improving performance and reaching objectives of the programme, contributing to the achievement of the strategic

objectives of DPME. People are often viewed as the most important aspect of knowledge management supported by internal processes and enabled through technology. FSDM is currently using the following tools to facilitate the process of creating, sharing and using knowledge.

7.4.1 Knowledge bank/ database

A database of all the facilities that have been monitored since the inception of the programme should be in place and updated on annually, based on the developments that are taking place in facilities. This database is managed and used to draw various types of analysis that can be used for research and reporting throughout the year. Currently DPME has such database of service delivery facilities assessed jointly and also with political executive. Offices of the Premier are encouraged to also have provincial database for their own knowledge management purpose particularly on monitoring visits that were not conducted jointly with DPME.

7.4.2 Case studies

Generating case studies is the first step in capturing the knowledge. However, it is also important to plan how this knowledge will be shared, how it will be incorporated into future learnings and future activities. It is one of the best ways to share learning and experiences. Case studies are critical in bringing out key qualitative information from a facility/ sector that are not necessarily captured elsewhere. They are useful for setting standards operational procedures for improvements of service delivery. It is vital to bring the most useful and transferable information to the fore for a broader audience. A target of a minimum of two (2) case studies per year has been set for the next financial year. Case studies to be documented needs to be proposed before the end of the current 2015/16 financial year. Completed case studies will be circulated to internal and external stakeholders and also published on the DPME website.

7.4.3 Practice notes

Practice notes on FSDM include interesting findings during the monitoring assessments, whether from a baseline or monitoring of improvements. A practice note can be on a specific indicator/key performance area within the FSDM and not limited to the following strategic levers (i) innovation (ii) leadership and empowerment (iii) stakeholder involvement (v) regression after improvement. Practice notes should be aligned with normal standard operating procedures and do not replace normal organizational processes. The process will entail how to embrace best practice and how to deal with issues that may arise/unintended consequences. A target of a minimum eighteen (18) practice notes has been set for the 2016/17 financial year on interesting stories emanating from 2016/17 implementation based on and not limited to the above themes as well as the FSDM Key Performance Areas. Completed practice notes will be circulated to internal and external stakeholders and also published on the DPME website for knowledge sharing. Offices of the Premier as partners in this programme are also required to play an active role in this process.

7.4.4 FSDM updates/ newsletter

This is an activity that is used to capture and communicate various FSDM events including executive engagements with the communities. An update newsletter will be produced on quarterly basis guided by DPME communications unit on developments and interesting facts about the programme. Offices of the Premier are also requested to submit

provincial articles that are related to FSDM implementation in their respective provinces for inclusion in these updates. These will be edited accordingly and the updates will be posted on the DPME website and distributed to all our stakeholders. It is important that we capitalise on this activity in responding to the annual workshop road maps on making the work of FSDM known/elevated.

8 TOOLS AND GUIDELINES

The FSDM Programme utilizes several tools and guidelines that circumscribe the processes and procedures of the Programme. These tools and guidelines are grouped as per function, and the various templates are available on the DPME Website. Below is a table for referencing each document.

8.1 Tools and Guidelines for Review

Document	Reference
Joint DPME OTP Programme Review Guideline	FSDM DPME and OTP Programme Management Review Meeting 2016-2017
Issue Log	FSDM Issue Log Template 2016-2017
Sector Championing guidelines	Sector guideline 2016/17

8.2 Tools and Guidelines for Planning

Document	Reference
Joint Annual Plan Guideline	FSDM Joint Annual Planning Guideline 2016-2017
Improvement Monitoring Guideline	FSDM Improvements Monitoring Guideline 2016-2017

8.3 Tools and Guidelines for Data Collection

Document	Reference
FSDM Data Collection Tools (Questionnaires)	2016-2017 FSDM Questionnaire

8.4 Tools and Guidelines for Reporting

Document	Reference
Summary Reporting Template	2016-2017 FSDM Summary Report Template
Questionnaire Review Report	FSDM Questionnaire Review Report 2016-2017
Reporting and Report Production Guidelines	FSDM Reporting and Report Production Guidelines 2016-2017

8.5 Tools and Guidelines for Knowledge Management

Document	Reference
Case Study Guideline	FSDM Case Study Guideline 2016-2017
Case Study Template	FSDM Case Study Template 2016-2017

9 CODE OF CONDUCT FOR MONITORS

The Code of Conduct for Monitors guides monitors on their conduct. It guides both the individual conduct of monitors and their relationships with others during frontline service delivery visits. Compliance with the Code of Conduct

enhances professionalism and helps to ensure confidence in the Frontline Service Delivery Monitoring Programme and the public service.

9.1 Client focus

As monitors we will listen to our clients (citizens and staff) and partners and treat them with dignity and respect, putting them first. As monitors we will at all times:

- Serve the public in an unbiased and impartial manner to create confidence in the public service;
- Be polite, helpful and reasonably accessible in dealings with the public at all times treating members of the public as customers who are entitled to receive high standards of service;
- Not unfairly discriminate against any person on the basis of race, gender, ethnic or social origin, colour, sexual orientation, age, disability, religion, political persuasion, conscience, belief, culture, or language; and
- Never abuse our position to promote or prejudice the interests of any individual or group.

9.2 Professionalism

Monitors must pay attention to the basics which include:

- Being punctual for monitoring visits and meetings;
- Running meetings efficiently;
- Checking spelling and grammar in all reports and documents;
- Responding timeously to e-mails, phone messages and all requests;
- Promoting a learning culture. This implies not doing the same things over again when they are clearly not working;
- Pursuing quality management practices including ensuring value for money, fairness and being efficient and effective.
- Being accountable, responsive, transparent, and courteous

An ethos of teamwork for monitors entails:

- Providing support to one another and treating each other with dignity and respect;
- Building trusting relationships internally and externally; and
- Using the appropriate channels to air grievances and direct representations; and
- Not disagreeing in front of our clients.

As monitors we will, at all times:

- Work effectively and efficiently to meet the legitimate expectations of our clients;
- Be creative, seek innovative ways to solve problems and enhance effectiveness and efficiency within the context of the law;
- Be punctual and reliable in the execution of our duties;
- Execute our duties in a professional and competent manner;
- Avoid any action that is in conflict with the execution of our official duties;
- Be honest and accountable in dealing with state funds;

- Use government property and other resources effectively, efficiently and only for authorised purposes;
- Promote sound, efficient, effective, transparent and accountable administration;
- Report all instances of fraud, corruption, nepotism, mal-administration and any other act which constitutes an offence or which is prejudicial to the interests of government;
- Give honest and impartial advice, based on all available relevant information and evidence;
- Honour the confidentiality of matters, documents and discussions classified or implied as being classified;
- Set an example to all and maintain high levels of professionalism and integrity.

As monitors, we shall:

- Dress and behave in a manner that enhances the reputation of the Department of Planning, Monitoring and Evaluation and the Offices of the Premiers and shall not do anything that brings these offices into disrepute;
- Wear name tags at all times;
- Not be under the influence of alcohol or any other substance with an intoxicating effect whilst at work;
- Not use or disclose any official information unless specifically authorised to do so; and
- Not release to or discuss any official matter or information with any member of the media unless specifically authorised to do so.

10 REFERENCES

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