DPME Guideline No 3.1.6

Generic Functions of Monitoring and Evaluation Components in the Offices of the Premier

planning, monitoring and evaluation

Department:
Planning, Monitoring and Evaluation
REPUBLIC OF SOUTH AFRICA

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Addressed to	Provincial Directors-General, and Heads of M&E in the Offices of the Premier
Purpose	To provide guidance on the context of M&E, guiding principles and generic functions of M&E components in the Offices of the Premier.
Reference documents	This guideline draws from the DPME discussion document on *"Performance Monitoring and Evaluation: Principles and Approach"*. Links to: ▪ Policy Framework on the Government-wide Monitoring and Evaluation System (GWM&ES) (2007) ▪ Improving Government Performance: Our Approach (2009) ▪ MPAT Framework (2011) ▪ DPME National Evaluation Policy Framework (2011) ▪ A Framework for Strengthening Citizen-Government Partnerships for Monitoring Frontline Service Delivery (2013) All DPME guidelines and tools applicable to various M&E programmes that are run collaboratively with the Offices of the Premier, are published on the DPME website: www.dpme.gov.za
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1   BACKGROUND AND CONTEXT

1.1   The Presidency and Offices of the Premier are the 'nerve centre of government' since they support political principals to execute their respective executive powers that are enshrined in the Constitution of the Republic of South Africa (1996). In supporting their respective Cabinets/Executives, they both play an oversight and strategic leadership role to drive policy development and implementation in the public sector.

1.2 The Department of Planning Monitoring and Evaluation (DPME) is the custodian of PM&E in government, and collaborates with the Offices of the Premier (OTPs) to coordinate the functions of the state, oversees the implementation of the National Development Plan (NDP), and drive government performance through M&E. In this regard, DPME has holds regular meetings with the Heads of PM&E from the OTPs and collaborates with them in implementing various M&E programmes across government.

1.3 The rationale for developing this guideline is to communicate shared understanding and approach on what needs to be done in relation to M&E in the OTPs, since M&E systems, frameworks, structures and tools are at different levels of maturity and capability in the various OTPs.

1.4 This guideline seeks to lay a basis for shared understanding of M&E functions across all Offices of the Premier in order to strength M&E in government and improve performance. It is informed by the National Development Plan (NDP); Medium Term Strategic Framework (MTSF: 2014–2019); Performance monitoring and evaluation: principles and approach (2014); by various consultations; and by evidence. The specific objectives of this document are to:

a) Set the context for M&E in the Offices of the Premier in their role as the strategic centre of the provincial governments by outlining the rationale, conceptual basis and over-arching principles that inform public sector M&E work;
b) Provide minimum guidance on the generic functions of the M&E components in the OTPs that inform organisational design which seeks to optimally capacitate OTPs to perform the province-wide M&E work;
c) Outline the relationships or links between M&E and other strategic functions such as province-wide planning, policy development, and research;
d) Indicate some of the key stakeholders the OTPs need to collaborate with to ensure alignment and effectiveness of their M&E work; and
e) Propose minimum M&E competencies that are required to ensure good capacity in the M&E components of the OTPs.

2 OVERARCHING PRINCIPLES

2.1 This guideline is based on the Constitutional values and principles governing public administration (Chapter 10) such as:
a) Promoting and maintaining a high standard of professional ethics;
b) Promoting efficient, economic and effective use of resources;
c) Public administration must be development-oriented;
d) Providing services impartially; fairly, equitably and without bias;
e) Responding to people's needs and encouraging the public to participate in policy-making;
f) Public administration must be accountable;
g) Fostering transparency by providing the public with timely, accessible and accurate information;

h) Cultivating good human-resource management and career-development practices to maximise human potential;

i) Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness and the need to address the imbalances of the past to achieve broad representation.

2.2   Further, one of the principles of co-operative governance is that various spheres of government must "provide effective, transparent, accountable and coherent government for the Republic as a whole", which are fundamental to sound M&E practices that contribute to good governance and continuous improvement in service delivery.

3   SCOPE OF THE GUIDELINE

3.1   The foregoing discussion sets the strategic context and high-level principles to guide OTP's to understand their oversight role in M&E.

3.2   This guideline focuses on the province-wide performance M&E functions of the OTP. As such, it does not necessarily address the internal aspects of departmental M&E in the OTPs as they relate to strategic plans and Annual Performance Plans (see DPME Guideline 3.1.7).

3.3   Further, the document provides guidance to the relationship between the OTPs and the DPME on the implementation of various national initiatives on monitoring and evaluation (PM&E) in order to ensure collaboration and alignment.

4   GENERIC FUNCTIONS OF M&E COMPONENTS IN THE OTPS

4.1   M&E of government priorities

4.1.1   OTPs are responsible for developing and implementing provincial priorities. They provide strategic leadership on monitoring and evaluating the priorities of government in provinces, and ensure that provinces align their priorities to those of other spheres of government to ensure coordination and integration.

4.1.2   OTPs are primarily accountable to the Provincial Executive and Provincial Legislatures in terms of reporting on progress made in implementing government priorities;

4.1.3   OTPs, like any other organ of the state, are also required to report to national transversal departments such as DPME, DPSA, PSC, and Chapter 9 institutions such as the Auditor General.

4.1.4   They are expected to facilitate reporting against commitments made in national Outcomes Delivery Agreements through National Implementation Forums and the Programme of Action (POA) system by:

a) Ensuring that each provincial department that contributes to the outcome is aware of their precise commitment; has translated these into measurable indicators and targets; and incorporated these into their departmental programmes.

b) Liaising with the planning units of all the contributing provincial departments to ensure that each department's commitments to relevant delivery agreements are translated into appropriate indicators and targets in their APPs, and where relevant, plans and shareholder agreements for public entities.

c) Analysing information collected from contributing departments and preparing an outcome progress report for the Provincial Executive Committee in consultation with the national department that coordinates outcome.

d) Provincializing targets in the delivery agreements.

4.1.5   They should facilitate verification and on-site interventions linked to the priorities. DPME runs the Siyahlola Presidential Monitoring Visits in collaboration with various stakeholders in all spheres of government. The OTPs are a key partner in this regard.

4.1.6   OTPs should liaise with DPME to obtain technical support to ensure that the above system works and that reports meet the requirements as approved by the Provincial Executive Committee.

4.2   Performance monitoring of predetermined objectives and performance information

4.2.1   The OTP is responsible for monitoring the process of selecting and defining performance indicators to ensure that departments adhere to the requirements of the FMPPI, and implement government priorities (MTSF, customised indicators, sector priorities).

4.2.2   The OTP should assess the alignment of APPs to the MTSF indicators, sector priorities, and customised indicators.

4.2.3   They are expected to co-ordinate Quarterly Performance Reporting (QPR) by provincial departments of performance data linked to APP and Programme of Action (POA).

4.2.4   The OTPs are responsible for analysing performance information reported by departments to monitor and evaluate overall performance in the province; and produce progress reports for reporting to Provincial Executive Committee and to other provincial reporting structures.

4.2.5   They are expected to create collaborative partnerships with stakeholders such:
a) Provincial Treasury - to analyse performance reports that link budgeting to departmental performance; and that link performance information against actual expenditure;

b) Internal Audit - to improve performance on the pre-determined objectives in the province.

4.2.6 DPME has established a 'Planning Alignment Unit' to provide technical support to national and provincial departments in relation to departmental strategic plans, annual performance plans and quarterly reporting against these.

4.2.7 OTPs should develop guidelines on the reporting and use of performance information in accordance to the Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES).

4.3 Province-wide M&E coordination and support

4.3.1 The M&E unit is responsible for coordinating M&E policies and practices in the provincial administration by developing a province-wide M&E framework and implementation plan. The M&E plan should translate priorities articulated in the Provincial Growth and Development Strategy or equivalent plan into measurable indicators and activities.

4.3.2 It should provide technical guidance and support to provincial departments in building and implementing their M&E systems; including ensuring data availability, integrity, flows, and analysis.

4.3.3 It should also coordinate M&E capacity development initiatives such as the establishment of M&E learning networks/associations, training in relation to the National School of Government (NSG) and/or other accredited training providers such as Higher Education Institutions and the private sector. OTPs should participate in the Provincial PM&E Forums and Combined PM&E Forums conducted by DPME and provide necessary feedback to stakeholders.

4.3.4 The M&E unit should work with branch managers and provincial departments to improve the quality of province-wide (transversal) information management systems, or to establish them where absent. An 'Information management system' includes data flows, business processes for managing data, the roles and responsibilities for capturing and managing data, as well as underlying IT systems.

4.4 Evaluations

With regard to evaluations, the M&E unit should:

4.4.1 Coordinate the development and implementation of Provincial Evaluation Plans (PEP) in line with the National Evaluation Policy Framework (NEPF) and evaluation guidelines.

4.4.2   Liaise with programme managers in the OTP and provincial departments to identify policies, programmes or projects which should be evaluated, and ensure that they are budgeted for.

4.4.3   Support provincial departments to prepare Departmental Evaluation Plans (DEP).

4.4.4   Obtain technical support as needed from DPME on evaluations included in the provincial evaluation plan.

4.4.5   Provide technical support to the programme managers commissioning evaluations in the province, and ensure that evaluations are of good quality.

4.4.6   Monitor the implementation of improvement plans for evaluations in the Provincial Evaluation Plan and ensure that results are used for planning, budgeting and decision-making.

4.4.7   Ensure that suitable communication materials are developed, and disseminated to different audiences based on evaluation results.

4.4.8   Maintain websites where all evaluations conducted by the province are accessible (unless there are security concerns), including the data and metadata.

4.4.9   Establish a representative cross Provincial Evaluation Technical Working Group (PETWG) to support OTP in overseeing the provincial evaluation system.

4.4.10 Chair and provide secretarial support for the Provincial Evaluation Technical Working Group (PETWG).

4.4.11 Establish Steering Committees for individual evaluations in PEP and provide secretariat support.

4.4.12 Request management response for approved Provincial Evaluation Plan from custodian departments.

4.5   Institutional assessment

4.5.1   OTPs should assess the performance of provincial departments, analyse data and use the results to strengthen the capacity of departments to deliver on their mandates.

4.5.2   Currently, DPME is re-aligning the focus of the Management Performance Assessment Tool (MPAT) that assesses the efficiency of management practices in the public service in collaboration with the OTPs.

4.5.3   The M&E unit in the OTP is, however, expected to continue to coordinate the implementation of MPAT in the province in accordance to DPME guidelines and its own frameworks till an official announcement of the re-alignment is made by DPME.

4.5.4   Currently DPME is strengthening the Heads of Department's (HoD) assessment system that takes into consideration the results of the institutional assessments.

4.6   Frontline Service Delivery (FSD) Monitoring

4.6.1   Frontline Service Delivery Monitoring (FSDM) includes the Siyahlola Programme; Special Projects; Executive Support; Izimbizo; Presidential Hotline; Monitoring of Frontline Service Delivery Facilities; and the National Youth Policy.

4.6.2   Units within the OTP shall monitor FSDM programmes, and the quality of services experienced by people at site level to ensure continuous improvement. This shall require internal coordination.

4.6.3   OTPs should ensure that line function departments continuously conduct their own monitoring visits in accordance to DPME guidelines and standards.

4.6.4   It should oversee that departments and delivery sites develop and implement improvement plans informed by FSD findings.

4.6.5   OTP's should work closely with Provincial Departments of Cooperative Governance & Traditional Affairs to monitor municipal facilities and the Back to Back Programme.

4.6.6   The M&E Unit is responsible for coordinating the quarterly consolidated report which should be reported to the Provincial Executive Authority and the Premier Coordinating Forum.

4.6.7   An integrated performance report of these programmes are reported at the National level through the various Clusters through to Cabinet and the Presidential Coordinating Council.

4.7   Public accountability and Citizen-Based Monitoring (CBM)

4.7.1   Citizen input and feedback is essential to an effective delivery process because it provides a measure of the gap between perceived and actual experience of services provided, for both user and provider.

4.7.2   OTPs should support the strengthening of citizen participation in monitoring of government service delivery.

4.7.3   OTPs should provide regular feedback to citizens on current monitoring and evaluation findings in order to strengthen public accountability.

4.7.4   DPME has completed the pilot of the Citizen-based Monitoring (CBM) programme in 10 sites within the three sectors of Health, Safety and Security and Social Development. M&E systems

has incorporated CBM in these facilities, and the routine use of CBM information for performance improvements has been strengthened.

4.7.5   DPME in partnership with the OTP are upscaling CBM mechanisms emerging from the pilot in other sectors and facilities.

4.7.6   DPME runs the Presidential Hotline, and OTPs should assist in ensuring follow-up to the complaints that are applicable to their provinces.

5   RELATIONSHIP BETWEEN M&E AND RELATED FUNCTIONS

5.1   M&E and province-wide planning and policy functions

5.1.1   The outcomes-approach presupposes that the methodology and work of planning and M&E are fully integrated in practice. For example, targets and indicators of intergovernmental and sector plans inform what should be monitored in the context of the 12 national priority Outcomes and Delivery Agreements.

5.1.2   Planning and M&E work are inextricably linked. It is not possible to monitor and evaluate effectively if there are no clear plans. M&E information should be incorporated into the planning processes and evaluation findings should be used to effect corrective action.

5.1.3   The M&E unit must work with the policy and province-wide planning components, where they are separate, to ensure that provincial plans and strategies (e.g. the PGDS) have well-defined indicators (impact, outcome, output, activity and input) linked to baselines and measurable targets.

5.1.4   The unit shall ensure the alignment and integration of provincial priorities, national outcomes, and Integrated Development Plans (IDPs) at local government. It shall also ensure that they are monitored and reported.

5.1.5   Evaluations should be conceptualised during the planning phase of policies, programmes and projects, and budgeted for. Diagnostic and design evaluations shall be used to improve the quality of plans, programmes and projects at their conceptual phase. Implementation evaluations shall assist in the implementation of on-going interventions, while impact evaluations of major interventions at key milestones after four to five years (4-5) conducted.

5.2   M&E and research

5.2.1   Ideally, the evaluation aspect of M&E should link closely with research (if not the same unit) to ensure that the findings of evaluations are used for improvements and decision-making.

5.2.2   The M&E unit should work with the research component to create a knowledge repository to support knowledge sharing using provincial PM&E forums, communities of practice, capacity

development, and ensuring communication to different audiences. The use of IT tools such as websites is critical in this regard.

5.3   M&E, Information Technology and Data systems governance

5.3.1   The M&E unit in the OTP should work closely with provincial departments and the Provincial Government Technology Information Office (PGITO) to ensure that transversal IT and data systems are in place to enable departments to generate and report on service delivery information.

5.3.2   The M&E unit should ensure that duplication of effort and lack of integration among various information systems in the OTP and province is avoided.

5.3.3   The Heads of M&E and Head of IT should work closely to ensure common data and IT standards and integrated reporting systems.

5.3.4   The implementation of the systems should ensure quality of data, administrative responsibilities and use.

5.3.5   Align metadata standards to the Statistics South Africa's (Stats SA) SASQAF.

5.3.6   There should be a unique data basket or repository for the province for use in provincial planning and M&E.

5.3.7   DPME is in the process of establishing a National Data Centre that will provide the decision-makers in government (political principals and administrative leadership) with:
(i)   data and insights for understanding progress made in implementing the NDP;
(ii)   the delivery of services to the people, and
(iii)   a platform for evidence-informed dialogue about practical ways of solving challenges facing South Africa.

5.3.8   The Data Centre shall leverage the momentum created by the Integrated Service Delivery Models (ISDMs) in relation to community level partnerships and intergovernmental relations.

5.3.9   The work of the Data Centre will help to bring in data system inputs from key stakeholders such as Statistics South Africa, provinces, national departments, science councils and other knowledge intensive bodies.

6   COLLABORATION WITH OTHER STAKEHOLDERS

6.1   National transversal departments and Chapter 9 Institutions

6.1.1   The OTPs are transversal institutions of government that provide executive oversight and leadership to the entire provincial administration and municipalities.

6.1.2   As a government institution, they must work very closely with, and report to the transversal departments like The Presidency, National Treasury (NT), Department of Public Service and Administration (DPSA), Department of Cooperative Governance (DCoG), and the Public Service Commission (PSC). Various aspects of this guideline discuss the different areas of collaboration between DPME and OTPs.

6.1.3   OTPs must report to the Chapter 9 bodies like the South African Human Right Commission (SAHRC) and facilitate the accountability of provincial departments to these constitutional bodies.

6.2   Other provincial departments

6.2.1   OTPs should ensure that provincial departments have departmental M&E strategies or frameworks in line with the provincial monitoring and evaluation plans.

6.2.2   OTPs should ensure the (i) development of M&E skills in departments, (ii) improvement of the quality of indicators in the strategic plans and annual performance plans, (iii) maintenance of data integrity, and (iv) establishment of proper reporting frameworks, tools and templates.

6.2.3   OTPs should provide M&E policy guidance and technical support to provincial departments.

6.3   Local Government

6.3.1   The M&E unit in the OTP should work with the provincial Department of Local Government to ensure that local government Integrated Development Plans (IDPs), and Service Delivery and Budget Implementation Plans are aligned with Delivery Agreements between the National Ministers and provincial MECs.

6.3.2   The OTP should facilitate the monitoring and verification of local level data on performance through front-line service delivery monitoring and inspections.

7 M&E COMPETENCIES

In order to carry out the functions discussed above, an M&E unit should include staff with the following competencies:

7.1   Monitoring and Evaluation leadership (i.e. be able to champion and communicate the importance of M&E).

7.2   Ability to formulate SMART (specific, measurable, achievable, realistic, time-bound) indicators in the strategic plans and the Annual Performance Plans.

7.3   Have a good understanding of results-based management and be able to apply results-based management in organisations.

7.4   Knowledge of the theory and practice of monitoring in an institution and at least one person should have solid grounding in evaluation and research.

7.5   Skills in information management, data analysis, writing and reporting (being able to produce good quality reports timeously).

7.6   Coordination, interpersonal and facilitation skills, to work effectively with and through different branches, as well as with external stakeholders, and motivate them to participate effectively and not just for compliance.

7.7   Familiarity with the whole-of-government planning, budgeting, M&E and reporting cycles and the roles of oversight bodies (e.g. Parliament and Chapter 9 institutions).

7.8   A strong grasp of compliance issues (e.g. PFMA, PSA, Treasury Regulations, PSR, FMPPI, Auditor General Act) and the policy environment (National Development Plan, FMPPI, National Evaluation Policy Frameworks, GWMES).

7.9   A good understanding of the context of departmental planning, including the priority outcomes.

Signed

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