



planning, monitoring
& evaluation

Department:
Planning, Monitoring and Evaluation
REPUBLIC OF SOUTH AFRICA



A CONCEPT NOTE ABOUT AN INTEGRATED AND COMPREHENSIVE MONITORING SYSTEM FOR THE GOVERNMENT OF SOUTH AFRICA

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1 Introduction

This concept paper sets out an integrated and comprehensive framework for monitoring the service delivery performance of the government of the Republic of South Africa across all its spheres. In terms of structure, the paper first lends a brief insight into some theoretical underpinnings for monitoring (and evaluation), then outlines the monitoring roles of government's different departments and state institutions; and provides a context for the evolution of monitoring systems in the country. It then traces the origins of the Department of Planning, Monitoring and Evaluation in 2009, the monitoring systems it has established to date, as well as its successes and challenges. Finally, the core of this paper presents a value proposition for an integrated monitoring system, led by the DPME. The paper focuses almost exclusively on monitoring, as evaluation is dealt with in a separate DPME concept note.

2 Theoretical Underpinnings

Theories of monitoring and evaluation abound in the literature. Kusek and Rist (2004) define monitoring as 'a continuous systematic collection of data on specified indicators to provide management and main stakeholders of an ongoing intervention with indicators of the extent of progress and achievement of objectives; as well as progress in the use of allocated funds'¹. The World Health Organisation (WHO); World Bank and USAID (2009) describe monitoring as: "the ongoing process of collecting and using standardized information to assess progress towards objectives, resource usage and achievement of outcomes and impacts. It usually involves assessment against agreed performance indicators and targets. In conjunction with evaluation information, effective monitoring and reporting should provide decision-makers and stakeholders with the knowledge they need to identify whether the implementation and outcomes of a project, programme or policy initiative are unfolding as expected and to manage the initiative on an ongoing basis"² (pg 4).

Kusek and Risk (2004) further define evaluation as "the systematic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development of efficiency,

¹ Kusek, J.Z and Risk, R.C (2004): *Ten Steps to a Result-Based Monitoring and Evaluation System in A Handbook for Development Practitioners*, World Bank, Washington DC.

² WHO; World Bank and USAID (2009): *Monitoring and Evaluation of Human Resources for Health, with special applications for low- and middle-income countries*, WHO Press, Geneva, Switzerland

effectiveness, impact, and sustainability.”³ In the same vein, WHO, World Bank and USAID (2009) state that evaluation is: “the systematic and objective assessment of an ongoing or completed initiative, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability. The development of an evaluation framework entails consideration of a range of matters, including identification of the types of data that could inform an evaluation”⁴ (pg. 4).

In the last decade, results-based monitoring emerged as a more useful approach relative to the traditional approaches to monitoring. Kusek and Rist (2004) define this as an approach that moves beyond an emphasis on inputs and outputs to a greater focus on outcomes and impacts. Results-based monitoring is a powerful public management tool that can be used to help policymakers and decision-makers track progress and demonstrate the impact of a given project, programme, or policy (Kusek & Rist, 2004).

As it will be later exposed, the DPME espouses results-based monitoring. However, this approach is not yet well entrenched across government. Umlaw and Chitepo’s (2015) survey on the state and use of monitoring and evaluation systems in national and provincial departments, found that the M&E systems of most departments still focused on quantitative measures of the achievement of pre-specified activities and outputs, measures which did not contribute to relevant, sustainable and adequate public outcomes and impact⁵. Umlaw and Chitepo (2015) cautioned that in general, in a results-based framework, it is not advisable to assess and analyse annual achievement of outputs in isolation from an assessment of the extent to which the outputs are contributing to strategic public benefit, social change and improvements⁶. A significant amount of work remains to fully entrench the results-based approach throughout all spheres of government.

In his seminal treatise on performance management in the public sector, De Bruijn (2009) postulated 5 laws of performance measurement namely: (a) the Law of Decreasing Effectiveness; (b) the Law

³ Kusek, J.Z and Risk, R.C (2004): *Ten Steps to a Result-Based Monitoring and Evaluation System in A Handbook for Development Practitioners*, World Bank, Washington DC

⁴ WHO; World Bank and USAID (2009): *Monitoring and Evaluation of Human Resources for Health, with special applications for low- and middle-income countries*, WHO Press, Geneva, Switzerland

⁵ Umlaw, F and Chitepo, N (2015): State and use of monitoring and evaluation systems in national and provincial departments, *African Evaluation Journal* 3(1), Art. #134, <http://dx.doi.org/10.4102/aej.v3i1.134>

⁶ Ibid

of Mushrooming; (c) the Law of Collective Blindness; (d) the Law of Preservation of Perverted Systems and the (e) Law of Decreasing Political Attention⁷.

In the *Law of Decreasing Effectiveness*, De Bruijn (2009) cautions that an excessive emphasis on targets and high outputs in a monitoring system can lead to perverse incentives, which include an inflation of actual performance by those responsible for delivery. He asserts that “if a performance measurement has a high impact, the effectiveness of performance measurement declines, because strong incentives for perverse behaviour arise”⁸ (pg. 36). Through the *Law of Mushrooming*, De Bruijn (2009) cautions against the development of bloated performance measurement systems, which start mushrooming and lose simplicity in this process.

The *Law of Collective Blindness* applies when performance measures reflect good performance, which satisfies the management of an organization, but stifle innovation in the process, as a result of the strategic behaviour that has developed. The good performance might actually provide a distorted picture of reality, in that the organization will continue to perform well, but being oblivious to the global developments in the sector.

The *Law of Preservation of Perverted Systems* occurs when performance systems are no longer effective and should be phased out or abolished, yet this does not happen because these systems have taken root, created a ritualizing tendency or have external owners who have an interest in upholding them.

Finally, the *Law of Decreasing Political Attention* characterizes a situation whereby performance measurement is viewed by the leadership as a sign of political resolve and has been institutionalized, and abolishing dysfunctional performance measures becomes a political dissatisfier. Consequently, obsolete performance systems are retained because political attention has declined after these systems were introduced.

De Bruijn’s (2009) laws of performance measurement are highly pertinent to the South African context, and will be dealt with in the later sections of this paper.

⁷ De Bruijn, H (2009): *Managing Performance in the Public Sector* (2nd Edition), Routledge, Taylor & Francis Group, London and New York.

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3 Monitoring Roles of Different Government Departments

The DPME is one of several government departments and state institutions that perform monitoring functions, and which derive their mandate (or authority) from the three sources: the Constitution of the Republic of South Africa, 1996; various pieces of legislation passed by Parliament and the position that the monitoring departments occupies.

The key role players that carry a Constitutional responsibility for monitoring are the Auditor-General of South Africa (AGSA) and the Public Service Commission (PSC). The AGSA audits financial and performance information and reports to Parliament. The PSC conducts independent monitoring of the public services and focuses on ensuring adherence to the Constitution in the public service.

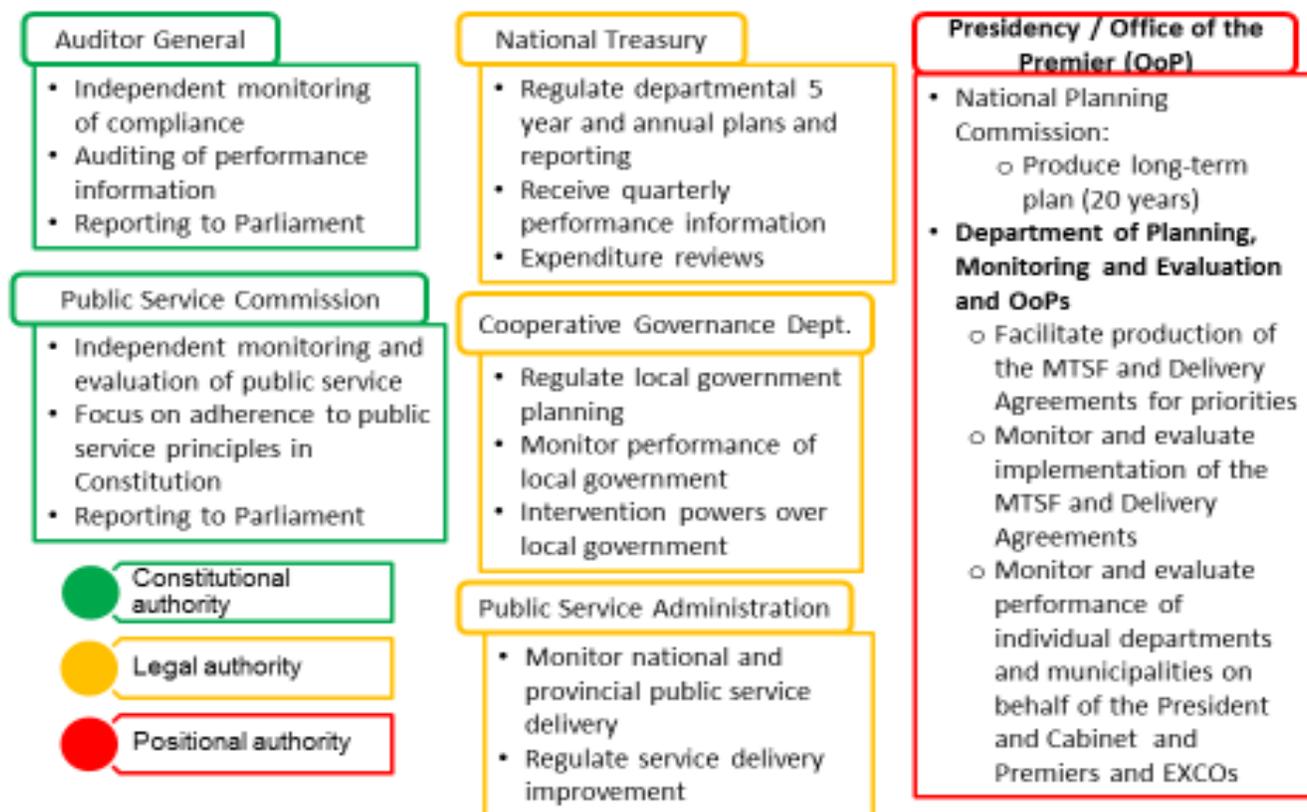
The Presidency and Offices of the Premiers (OTPs) derive their mandates from the executive powers vested upon them by the Constitution. By extension, these include their monitoring functions. The National Planning Commission (NPC), appointed by the President, develops long-term development plans for the country. The DPME and the OTPs facilitate the development of medium-term and short-term plans to ensure delivery on the long-term plans, including the Medium Term Strategic Framework (MTSF), which will be discussed later. The DPME and OTPs also monitor and evaluate the implementation of the MTSF, and the performance of individual departments, on behalf of the national and provincial executive.

In terms of the Public Service Act of 1994, the Department of Public Service Administration (DPSA) carries a mandate to monitor national and provincial service delivery and to regulate service delivery improvement, including through setting norms and standards.

In terms of the Public Finance Management Act (PFMA) of 1999 (as amended), National Treasury regulates the development of Strategic and Annual Performance Plans (APPs), as well as quarterly and annual reporting against these plans. National Treasury subsequently transferred these functions to the DPME in 2015, but the legislative framework has not yet been amended.

In accordance with the local government legislation, the Department of Cooperative Governance and Traditional Affairs (COGTA) regulates local government planning and monitors the performance of local government. These roles are reflected graphically in **Figure 1** on the next page.

Figure 1: Roles and Responsibilities for M&E in SA



This concept paper focuses solely on the monitoring roles of the DPME, and does not seek to prescribe or proscribe the roles of other government departments and state institutions.

4 Background

In 2009, the Presidency of the Republic of South Africa raised the bar on the performance of government departments, and accentuated the need to derive more value for government spending. At the heart of this reform was the need to ensure that government departments focused on the outcomes and impact of their work, rather than the traditional approach of merely concentrating on activities and inputs. In pursuit of these goals, the Presidency created the [then] Department of Performance Monitoring and Evaluation in 2010, which was located in the Presidency as the centre of government. In 2014, the two Ministries in the Presidency for Monitoring and Evaluation and for Planning – were merged to form the new Ministry in the Presidency for Planning, Monitoring and Evaluation and the Department of Planning, Monitoring and Evaluation (DPME).

The policy framework on monitoring entitled *Improving Government Performance: Our Approach*⁹ and the *Green Paper on National Planning*¹⁰ were approved by Cabinet and published in September 2009 to provide a basis for Outcome Monitoring and National Planning capacity in government, respectively. The 2009 policy framework defined the functions of the Ministry of Performance, Monitoring and Evaluation as to set up improved outcomes across government; drive a results-oriented approach across the three spheres and other organs of state, and to review the data architecture of government so that the required performance information is generated. The information would be used in intergovernmental planning and resource allocation.¹¹ The three main focus areas of the Ministry of Performance, Monitoring and Evaluation were defined as follows:

- (a) **Management of outcomes through Ministerial accountability for improving delivery performance:** The Ministry will play a supporting role in establishing the performance agreements with Ministers/MECs and sectoral delivery agreements, focusing on a small set of outcomes and a selected group of outputs. Ministers/MECs would cascade results-focused lines of accountability down to senior officials.
- (b) **Institutionalising the Government-wide Monitoring and Evaluation system:** The Ministry's work would build on existing initiatives with a renewed focus on improving input, output and outcome measures. The capacity building strategy for GWM&E will be strengthened to accelerate development of technical skills required for outcomes-focused performance management.
- (c) **Unblocking service delivery:** The Delivery Unit will assist in a limited number of institutional environments to help turn around blockages and non-delivery.

Phillips, Goldman, Gasa, Akhalwaya and Leon (2014) described the purpose for the establishment of the erstwhile Department of Performance Monitoring and Evaluation as “initially to introduce the outcomes approach to planning, and M&E of government's top priority outcomes”¹². The DPME stated that Outcomes performance management is about singling out a limited number of outcomes which will be monitored periodically and serve as the basis of engagement between the President

⁹ The Presidency, Republic of South Africa (2009): *Improving Government Performance: Our Approach*, Pretoria, www.thepresidency.gov.za

¹⁰ The Presidency, Republic of South Africa (2009): *Green Paper: National Strategic Planning*, Pretoria, www.thepresidency.gov.za.

¹¹ Op Cit.

¹² Phillips, S; Goldman, I; Gasa, N; Akhalwaya, I and Leon, B (2014): *A focus on M&E of results: an example from the Presidency, South Africa*, *Journal of Development Effectiveness*, Published online: 22 Dec 2014.

and Ministers or groups of Ministers and MECs”¹³. An initial set of 10 priority outcomes, linked to the Medium-Term Strategic Framework (MTSF) 2009-2014 were identified namely: economic growth; infrastructure; rural development; food security and land reform; education; health; cohesive and sustainable communities; promotion of a better Africa and better world; sustainable resource management; and improving the public service¹⁴.

The outcomes were later expanded, and the MTSF 2014-2019 entails 14 outcomes namely: Improved quality of basic education; A long and healthy life for all South Africans; All people in South Africa are and feel safe; Decent employment through inclusive economic growth; A skilled and capable workforce to support an inclusive growth path; An efficient, competitive and responsive economic infrastructure network; Vibrant, equitable and sustainable rural communities with food security for all; Sustainable human settlements and improved quality of household life; A responsive, accountable, effective and efficient local government system; Environmental assets and natural resources that are well protected and continually enhanced; Create a better South Africa and contribute to a better and safer Africa and World; An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship; Social Protection and Social Cohesion and Nation Building.

The Presidency also wanted government to remain in close proximity with the electorate, the ordinary South Africans and listen to the concerns and compliments they raise about progress with service delivery concerns. To this end a Presidential Hotline was created in 2009, as well as a more rigorous special project for public engagement and intervention known as the Presidential Siyahlola Programme, which was related to Izimbizo. These initiatives are now in the process of being integrated with the Frontline Monitoring and Citizen-based monitoring programmes that were introduced later around 2012 to monitor quality of services and citizen engagement at the coal-face of service delivery.

In 2009, the Ministry for Performance Monitoring and Evaluation adopted a set of non-negotiable principles to improve government departments. These were as follows:

- (a) Provide principled leadership and making tough decisions that may be required to deliver on our mandate.
- (b) Strengthen our ability to co-operate across the three levels of government and work as a single delivery machine.

¹³ The Presidency, Republic of South Africa (2009): Improving Government Performance: Our Approach, Pretoria, www.thepresidency.gov.za.

¹⁴ Ibid

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- (c) Build a partnership between government and civil society so that we work together to achieve our goal of a better life.
 - (d) Be completely transparent with each other. We must claim no easy victories, just tell the truth and build on what we have achieved.
 - (e) Recognize that there will always be limited funding and resources and yet be willing to commit to doing more with less and doing it on time.

Develop a skilled and well-motivated public service that is proud of what it does and receives full recognition for delivering better quality services.

These principles remain pertinent to date.

5 DPME's Perspectives on Monitoring

Through international benchmarking, literature analysis and internal debate, the DPME established its perspectives on monitoring, which are described below.

5.1 Purpose of monitoring

The DPME reached consensus that M&E should not be carried out for its own sake but to fulfil one or more of the purposes below:

5.2 To inform the development and design of government policies and plans

This is done by identifying the strengths and weaknesses of existing policies for the purposes of designing new policies and plans. The target group is the Executive, management and the public who are the beneficiaries of such policies.

5.3 To improve the performance of institutions, programmes, projects and operations

This involves improving both strategic and operational management. The target group is the Executive, management and the public. This should result in improved efficiency, economy and effectiveness.

5.4 To improve accountability and transparency

This involves providing evidence of the impact, effectiveness and efficiency of government's work. The target group is the public and Parliament, which benefits from sound M&E practices that enhance their oversight role.

5.5 To support decision-making

This involves providing evidence relating to the implications of options to be considered. This could also include decisions about consequences of not implementing M&E recommendations and improvement plans. The target group is the Executive and management. M&E information can also result in improved resource allocation through having better information on the outcomes and impacts of expenditure.

5.6 To generate knowledge

Knowledge about what works and does not work should be generated for wider application, and for building new theories and models. The target group is the public sector as a whole as well as knowledge institutions such as researchers and academic institutions. This should result in increased learning between and within organisations.

5.7 General Principles of M&E

DPME also established, based on international literature and good practice experience, which the following general principles should be applied for M&E systems to meet their purpose:

a) Increasing the use of evidence will improve the quality of policy and decision-making and implementation of programmes and services.

This is a foundational principle for M&E, while recognising that a diversity of inputs informs eventual policy decisions.

b) The primary users of M&E information are managers themselves, to learn and improve performance.

This means emphasising the use of M&E systems internally, and promoting the capacity of managers to use M&E evidence. This should lead to the development of a performance-oriented management culture and improvements in performance, productivity and the quality of service delivery.

c) Plans and targets should promote outcomes and impacts on citizens, and not just focus on activities and outputs.

This means promoting outcome-based planning, and ensuring that targets are set for outcomes and impact on citizens.

d) Keep time spent on M&E to the minimum necessary

Keeping M&E and reporting demands to the minimum necessary to improve performance and accountability. There is no point in producing information or reports which are not used, and

managers should not feel that the time spent reporting is severely limiting the time they need to focus on their work.

e) M&E systems and processes should be as simple as possible to achieve their purpose

Information should be handled once:

- External monitoring bodies should not request reports from departments or municipalities where information is already available or can be obtained from another body which has already collected the information
- Unnecessary duplication of data collection and reporting should be minimised by standardisation of business processes and optimal use of ICT to automate routine administrative data processing and quality assurance.

f) Reports should contain an appropriate level of detail

for example, reports to Cabinet should contain a limited number of indicators and should concentrate on the upper end of the value chain (outputs, outcomes and impacts).

g) Performance information should come from the normal business processes in a government institution, i.e. their internal administrative data systems.

This avoids duplication of information management systems and processes, reduces the reporting workload, and increases the likelihood that performance information will be used by managers.

h) M&E systems should take account of the diversity of government

Government services range from routine functions such as providing identity documents which involve repetitive standard processes, to highly context-specific work such as health care, where situations evolve, and each client is different.

i) Promote innovation

It is important to change the predominant culture in the public service of a fear of doing things differently. Managers should be encouraged to try new ways of doing things in the interests of improving performance, and should not be punished if the new ways fail (as long as there was due diligence and unless the failure was due to gross negligence or repeating avoidable mistakes). A culture of learning from mistakes should be encouraged. Changing this mind-set is important for M&E evidence to be welcomed as an opportunity to resolve problems and to improve performance, rather than to punish.

j) Make M&E information public, to promote accountability

A fear of being seen to have made mistakes or being seen to have performed poorly sometimes inhibits departments from making M&E evidence public. This fear can also be addressed by viewing M&E evidence as an opportunity to resolve problems and to improve performance, rather than to punish.

k) Promote the demand for M&E evidence, so as to strengthen supply.

Examples of sources of demand are:

- Managers in departments themselves;
- Government agencies such as National Treasury;
- Members of the Executive;
- Chapter 9 institutions; and
- Parliamentary portfolio committees.

6. Monitoring Functions of the DPME

Phillips et al. (2014) outlined the Monitoring and Evaluation (M&E) and planning roles of the DPME, prior to its merger with the National Planning Commission (NPC) secretariat in 2014¹⁵. These are reflected in **Table 1** below.

TABLE 1: M&E AND PLANNING ROLES OF THE DEPARTMENT OF PERFORMANCE M&E

M&E of national priorities	<ul style="list-style-type: none">➤ Developing the MTSF/outcome plans (delivery agreements)➤ Monitoring (that is, tracking) progress against the delivery agreements➤ Evaluating to see how to improve programmes, policies, and plans Operation Phakisa – intensive planning, M&E, and problem-solving on priority programmes, building on the Malaysian experience
Management performance M&E	<ul style="list-style-type: none">➤ Assessing quality of management practices in individual departments (MPAT) at national/state level➤ Assessing quality of management practices and delivery in local government (LGMIM)
M&E of frontline service delivery	<ul style="list-style-type: none">➤ Monitoring of experience of citizens when obtaining services (joint with states) including citizen-based monitoring➤ Presidential Hotline – including tracking responses and follow-up➤ Taking government to the people through the Izimbizo programme

¹⁵ Phillips, S; Goldman, I; Gasa, N; Akhalwaya, I and Leon, B (2014): A focus on M&E of results: an example from The Presidency, South Africa, Journal of Development Effectiveness, Published online: 22 Dec 2014.

Government-wide M&E System	<ul style="list-style-type: none"> ➤ National M&E policy frameworks ➤ M&E platforms across government – nationally, provincially ➤ Structures of M&E units/capacity development ➤ National Evaluation System ➤ Five-yearly and 20-yearly reviews of changes in the country ➤ Annual production of development indicators and the 20 years review are specific named documents ➤ Data quality issues
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Over the years of performing its roles enunciated above, the DPME created at least 12 monitoring systems, each of which performs a specialised monitoring functions. These are:

- (1) Programme of Action (PoA) for Outcome-based monitoring
- (2) Frontline Service Delivery
- (3) Citizen-based Monitoring
- (4) Siyahlola Presidential Monitoring Programme
- (5) Operation Phakisa
- (6) Revitalisation of Distressed Mining Communities special project
- (7) Management Practices Assessment Tool
- (8) Local Government Management Improvement Model
- (9) Socio-Economic Impact Assessment
- (10) Quarterly Performance Reporting (QPR) system
- (11) Monitoring of 30-day payments to suppliers and service providers special project
- (12) Heads of Department (HoD) monitoring

Table 2 below presents a high level summary of the focus areas of each of the 12 monitoring system

TABLE 2: DPME MONITORING SYSTEMS AND THEIR KEY FOCUS AREAS	
Monitoring System	Key Focus Area
1 Outcomes Monitoring	<ul style="list-style-type: none"> ➤ Monitoring of progress towards the National Development Plan (NDP) 2030, implemented through the Medium-Term Strategic Framework (MTSF), which encompasses 14 priority outcomes of government ➤ Monitoring of Performance Agreements of Ministers with President ➤ Development of the Programme of Action (POA) and briefing notes ➤ Performance dialogues and expenditure reviews ➤ Production of periodic reviews (Midterm Reviews; 5-year Reviews and 20-Year reviews).
2 Frontline Service Delivery	<ul style="list-style-type: none"> ➤ Monitoring of public service facilities through both unannounced visits and improvement monitoring meetings ➤ Instilling a culture of self-monitoring in government departments to realise improvements in quality of service delivery to enhance planning , accountability, responsibility and reporting through monitoring.
3 Citizen-based Monitoring	<ul style="list-style-type: none"> ➤ Tracking the experiences of citizens in relation to government performance, to improve public accountability and service delivery ➤ Building capacity of both citizens and officials to monitor citizen’s experience of service delivery; analyse feedback; take actions for improvement and communicate to all stakeholders.
Special Projects to drive implementation	
4 Siyahlola Presidential Monitoring Programm	<ul style="list-style-type: none"> ➤ Public Participation Programmes championed by the Presidency ➤ Identification and monitoring of priority projects to be delivered in accordance with government priority outcomes. ➤ Direct engagement with communities on their needs and quality government service ➤ Tracking of progress by government departments with addressing identified challenges ➤ Taking government to the people through the Izimbizo programme.
5 Operation Phakisa	<ul style="list-style-type: none"> ➤ Adapted from the Big Fast Results methodology of Malaysia – it is an 8-step problem solving methodology, which includes convening a Delivery Laboratory.

		➤ DPME monitors progress towards accelerating delivery on national priorities espoused in the National Development Plan 2030, implemented through 7 Delivery Laboratories (labs)
6	Revitalisation of Distressed Mining Communities	➤ Assessment of progress with the rehabilitation and revitalization of the mining towns and labour sending areas
Tracking progress towards improved Management Practices		
7	Management Performance Assessment Tool	➤ Assessment of the quality of management practices in government departments
8	Local Government Management Improvement Model (LGMIM)	➤ Assessment of the quality of management practices and delivery in local government
9	SEIAS	➤ Impact assessment of new and existing legislation and regulations to ensure alignment with NDP and to reduce risk of unintended consequences
10	Monitoring of implementation of Annual Performance Plans (QPR System)	➤ Monitoring of progress with the implementation of National and Provincial APPs on a quarterly basis
11	30-day payment of suppliers	<ul style="list-style-type: none"> ➤ Quarterly monitoring of departments' compliance with the 30-days payment requirement to suppliers and service providers ➤ Daily investigation of non-payment complaints and monitor government institutions with payment of suppliers where invoices are legitimate
12	HoD Performance Assessments	<ul style="list-style-type: none"> ➤ Annually monitor compliance with the submission of performance Agreements of HODs and conduct quality assessment in line with the policy ➤ Monitor compliance with the mid-year and final assessment of HoDs performance

7 Context of The DPME's Monitoring Functions

DPME uses M&E as a strategic approach for ensuring implementation of the country's development priorities, fostering accountability for performance (efficiency and effectiveness), promoting learning from experience, facilitating stakeholder coordination, continuously improving use of evidence in decision-making and contributing to policy coherence and impact. M&E systems do not exist for their own sake, but to make a difference in people's lives. Therefore, for purposes of this document, the challenges that DPME seeks to address using planning and M&E systems are analysed at three levels, namely: development context, public sector context and technical M&E context.

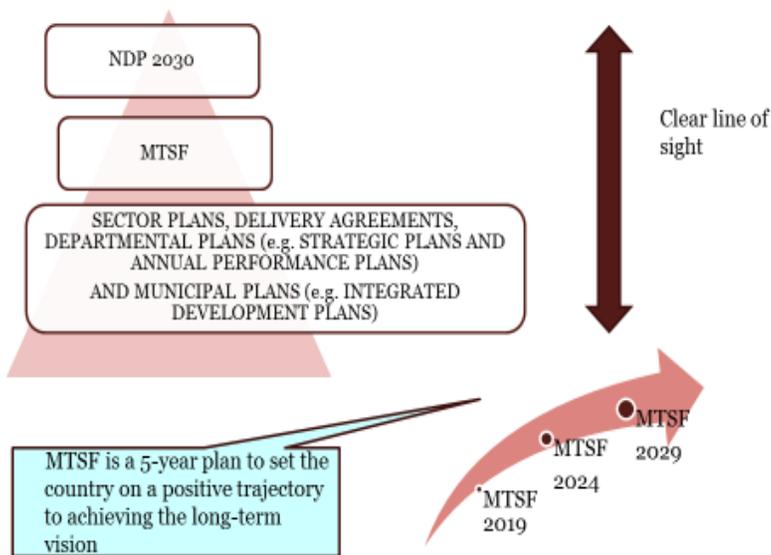
7.1 Development Planning Context

The government of South Africa has adopted the National Development Plan (NDP) Vision 2030 as the macro plan for achieving socio-economic development. The three goals of the NDP 2030 are to:

- (a) Eradicate absolute poverty;
- (b) Reduce unemployment rate to 6% – by creating 11 million more jobs by 2030
- (c) Significantly reduce inequality from 0.69 to 0.60 gini coefficient through a range of policy interventions.

The NDP 2030 is implemented through the Medium-Term Strategic Framework (MTSF), which is 5-year service delivery programme that encompasses key national priorities and strategies for achieving these. The MTSF is the key mechanism for achieving alignment between the NDP 2030 and the medium-term and short-term plans of government. The MTSF 2014-2019 is the first five-year building block of the NDP 2030. It ensures a clear line of sight between the NDP 2030, delivery agreements; 5-year Strategic Plans and Annual Performance Plans (APPs) of departments, as well as Integrated Development Plans (IDPs) of municipalities. The cascade of plans from the NDP 2030 to the IDPs is reflected in **Figure 2** on the next page.

Figure 2: Cascade of Government Plans

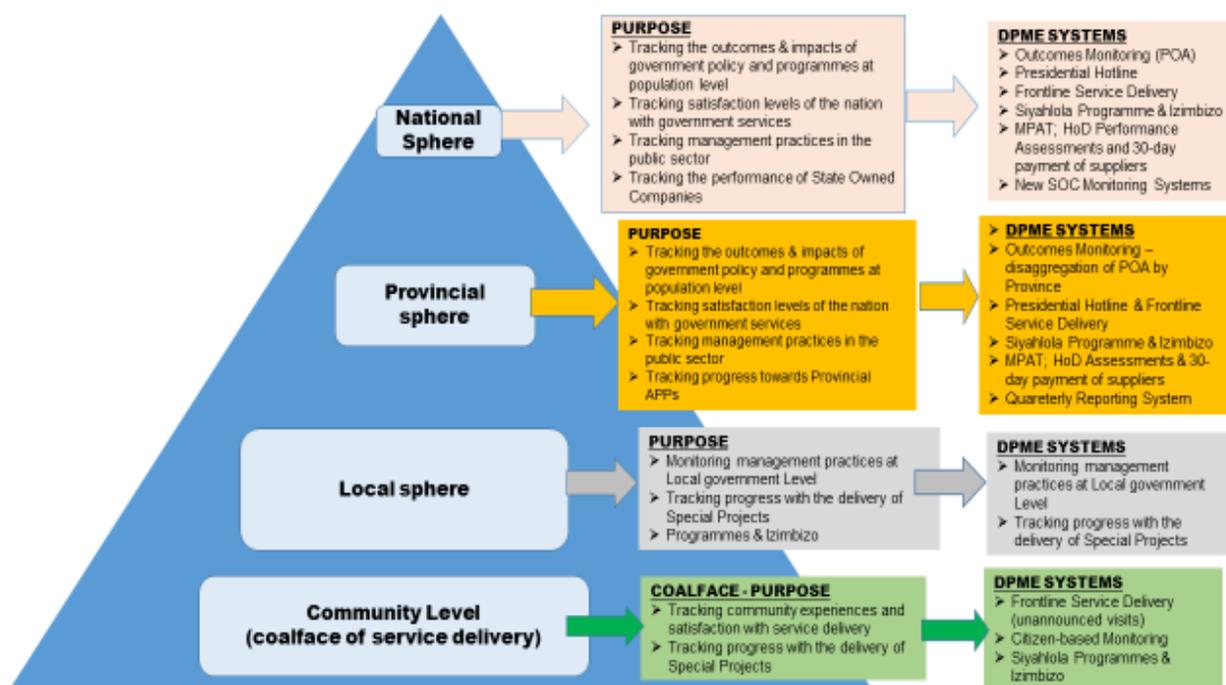


Source: Department of Performance Monitoring and Evaluation, *Medium Term Strategic Framework (MTSF) 2014 – 2019*, presentation delivered to the Forum for South African Directors-General (FOSAD) 04 July 2013

As reflected in **Figure 3**, the DPME has over the years of its existence endeavoured to establish systems to monitor progress with the implementation of government plans and programmes at each sphere, and to monitor improvements in management practices.

Figure 3:

Cascade of DPME’S Monitoring Systems at different spheres of government and coalface of service delivery



A Midterm Review Report of progress towards the NDP 2030 during the period 2014-2016, completed by the DPME in 2017, concludes that Basic education system is on an upward trend. Enrolment in post-school education and training has increased. There are improvements in health status reflected in key population health indicators (enhanced life expectancy, reduced under-five mortality, reduced maternal mortality, amongst others). Provision of basic services has improved, inclusive of grid and non-grid electricity connections, potable water in dwellings, sanitation, and solid waste management. However, there are problems with quality of supply in some places and widespread problems with reliability of services due to neglect of maintenance. There has been sustained and improved provision of social assistance to over 17 million beneficiaries, and evidence that this is having significant impacts on the lives of poor households. Audit outcomes for municipalities have improved.

The Midterm Review Report 2014-2016 also notes that there are still persistent challenges. These include slow economic growth; high unemployment rate (27.7%), significantly higher

unemployment amongst the youth, increased levels and severity of income poverty; and persistently high levels of inequality (Gini coefficient of 0.67 with social wages). This accentuates the imperative for the DPME to maintain vigilant M&E systems to track progress towards the NDP 2030.

7.2 Public sector context

The challenges facing the public sector were articulated in the diagnostic report that informed the NDP and the 20-year review report published by the Presidency in 2014. Paramount among many challenges, are weaknesses in leadership capacity, institutional capabilities, and systems.

Whilst significant strides have been made towards creating a new state apparatus underpinned by a constitutional democracy with strong human rights ethos, significant challenges remain in respect of the skills, performance culture and capacity of the state to consistently deliver quality services to the citizenry. Another challenge is poor coordination at both strategic and operational levels to ensure policy implementation to achieve the outcomes, goals and aspirations embodied in the NDP 2030. This is the implementation gap. The prevalence of violent service delivery protests by communities attest to inadequate delivery, accountability and performance, and deficiency which place at risk the legitimacy and credibility of the state in the eyes of the populace. The reported cases of corruption are a cancer that is eating into the very fabric of the state. This leads to loss of state resources that were meant to serve the public, thereby creating institutional failures and public outcry particularly at local government level.

These challenges are also visible in the State Owned Companies (SOCs) and other public entities that are specially designed as public sector institutions to implement development projects with a higher degree of flexibility and agility that combines the characteristics of a developmental public service and dynamism of the private sector. The Report of the Presidential Review Commission highlights challenges in the governance of some of the major SOC's and lack of development-orientation, thereby draining the public purse with limited achievement of the outcomes.

There is very weak state monitoring and supervision of the operations of public sector institutions, including SOC's. Good supervision contains a mixture of incentives, rewards and sanctions to ensure proper consequence management, especially for significant and persistent failures. Unfortunately, consequence management is currently poor in the public sector.

7.3 M&E Context

During 2009-2014, the DPME undertook a range of surveys and diagnostics to understand how M&E is understood and used by M&E practitioners in the national and provincial governments in South Africa (DPME, 2014-16). The surveys found that there was generally an absence of a strong M&E culture in government within 54% of 96 departments surveyed, with M&E being seen as a policing and controlling function (39%) rather than a continuous improvement function (DPME, 2014). The DPME surveys found that there was a widely-held perception that monitoring was an activity carried out by monitors who monitor the work of others, and limited appreciation of the importance of managers themselves monitoring and evaluating their own work. It was further found that the dominant culture in government was one of compliance rather than based on learning and improvement. Furthermore, almost 40% of departments were not planning or conducting any evaluations of any of their major programmes and that evaluation was still only applied sporadically.

It is important that the DPME guards against inadvertently creating the extreme opposite of the lack of a monitoring culture, through its plethora of uncoordinated monitoring systems, the phenomenon that De Bruijn (2009) refers to as the *Law of Decreasing Effectiveness*. The DPME's 12 diverse monitoring systems may have evolved over time into stand-alone structures, which have not been integrated into one seamless system that generates comprehensive and high quality data to provide strategic information to government on service delivery and its impacts. De Bruijn (2009) cautions against this Law of Mushrooming. Monitoring systems are also not fully configured to respond to emerging issues on the ground and policy priorities. National and provincial departments indicate they are required to prepare many reports, often with related information. A need exists for an integrated and comprehensive monitoring system.

Through the development and implementation of government-wide monitoring systems, the DPME has largely improved this situation. **Annexure 1** reflects the successes that have been recorded through the work of the DPME, across its 12 monitoring systems.

DPME has also delivered capacity building programmes in M&E on a large scale, including at subnational levels. M&E training is delivered through educational programmes at postgraduate levels by various universities, and short course skills programmes are delivered by the National School of Government, provincial learning academies and the private sector. However, the impact of these capacity building activities is not yet known and challenges around institutional M&E capacity persist.

¹⁶ DPME, Performance Monitoring and Evaluation: Principle and Approach, 27 October 2014.

8 Global Experience and Best Practice in Addressing This

To be successful, this results-based approach to M&E has to be implemented against a strong planning regime that articulates long-term vision and plans at a national, sectoral, and sub-national levels, and use results-based strategies like the delivery agreements and Operation Phakisa to drive implementation in the medium-term. However, in South Africa development planning and M&E are in the process of being integrated and enabled through legislative and institutional mechanisms.

During the formative years of the DPME, lessons were drawn from several middle income countries largely similar in character to South Africa. Through literature reviews and study tours, ample knowledge was gathered to inform the monitoring approach adopted by the Department. The development of the outcomes approach was informed by the experiences of countries such as the United Kingdom (during the Blair Administration); Malaysia and Indonesia, while the development of the MPAT system benefited from the experience of countries such as Canada, UK, New Zealand, and Turkey¹⁷. The Operation Phakisa methodology is derived from the Big Fast Results (BFR) methodology originally developed by the government of Malaysia.

For the development of the integrated and comprehensive monitoring system led by the DPME, the lessons from the 2011 visits to Indonesia, Malaysia and Singapore remain very instructive. These are presented in detail in **Annexure 2**. With respect to the outcomes monitoring system, the key lessons were as follows¹⁸:

- 8.1 Both Indonesia and Malaysia have Prime Minister/Presidential Delivery Units. Both are very focused on the “business-unusual” aspect and on a limited number of outcomes. DPME has a tension between its work on the outcomes and managing a range of other M&E functions and there is a danger of losing the focus and urgency around the outcomes. This brings a tension between the roles of delivery unit (action) or M&E unit (information). The dangers of covering both in DPME need to be discussed and how best to ensure both aspects can be covered effectively.
- 8.2 The bringing in of external ideas and approaches has brought a dynamism and can-do culture in relation to the outcomes in Malaysia in particular. It would be useful to explore more use of

¹⁷ Phillips, S; Goldman, I; Gasa, N; Akhalwaya, I and Leon, B (2014): A focus on M&E of results: an example from the Presidency, South Africa, *Journal of Development Effectiveness*, Published online: 22 Dec 2014.

¹⁸ The Presidency, Department of Performance Monitoring and Evaluation, Report on Study Tour to Indonesia, Malaysia and Singapore 4 to 15 October 2011, 17 November 2017, Programme to Support Pro-Poor Policy Development (PSPPD), DPME/PSPPD 46.

secondments to centre of government departments like DPME and Offices of the Premier to bring in different skills.

8.3 Another general feature observable in Malaysia in particular is an excitement and national pride around the outcomes, and as people want to be associated with success this creates interest. In addition, the problem-solving focus of all meetings is helpful in generating a culture where problems are overcome and so implementation can speed up.

8.4 The degree of visible political support and profile behind the outcomes is stronger in Malaysia in particular, with a very hands-on approach by a Minister focused specifically on the outcomes, and on problem-solving to address the outcomes. In South Africa the outcomes are one among a number of priorities and so there is less focus. This means that Malaysia is seeing more quick and visible progress, which is self-reinforcing as this then builds confidence in the outcomes approach and reinforces the focus. In Malaysia the success with the first set of priorities (Government Transformation Programme), then led to a second set (the Economic Transformation Programme), using a similar approach¹⁹.

9 Approaches Applied in South Africa

An intricate challenge that has faced the South African government has been the need to create and sustain a multifaceted and dynamic monitoring system, which at the highest level, is sufficiently vigilant to track nationwide implementation of national priorities, as well as the resultant impacts and outcomes of government policies and programmes on citizen's lives. The system should also be versatile enough to track service delivery inputs, activities and processes at the lowest level (government facilities at the coalface), and the outputs at the intermediate level (Provinces and Districts).

The challenge has been to develop a system that can monitor effectively at all levels, generate good quality and timely information to guide decision-making across three spheres of government. Lately, the DPME has come under pressure from the Executive to conduct monitoring that can predict risks, and forecast where the next service delivery protest is going to take place. It was always going to be a mammoth task to create such a system. As already stated, the DPME has established and implemented over 12 monitoring systems, which focus on different priority areas within government, which could be viewed as a complex bureaucratic system. An outline of the successes and challenges of some of these systems is reflected in **Annexure 1**.

¹⁹ bid

10 Emerging Lessons and Evidence

A formal evaluation of the impact of all the monitoring systems of the DPME is essential. Emerging lessons from the DPME's internal reports suggest that the implementation of a dedicated and deliberate strategy to infuse a culture of monitoring across government is imperative. As reflected in **Annexure 1**, monitoring systems are gradually taking root, both at the highest level of outcomes monitoring, as well as at the lowest level, that of coalface service monitoring. These have not been systematically or scientifically documented. The evidence-base is still weak. However, the common themes in the self-reports of the monitoring systems include: (a) monitoring culture is taking root or being institutionalised; (b) local ownership of community-based monitoring approaches is emerging; (c) monitoring has enhanced awareness of good governance practices; (d) increased recognition or value of DPME's innovative monitoring approaches; (e) alignment of DPME's monitoring tools with the requirements of other centre of government and sector departments; and (g) institutionalisation of socio-economic assessments of policies and legislation.

The DPME's interventionist and problem solving approaches are yielding results. One of such approaches is the implementation of the Operation Phakisa Programme, which is modelled according to the Malaysian Big Fast Results programme. Operation Phakisa is a multi-sectoral government intervention for advancing the implementation of the National Development Plan 2030. Seven Operation Phakisa Delivery Laboratories have been conducted to date and the outputs are being implemented. These are: (1). Oceans Economy; (2) Scaling up the Ideal Clinic Realisation and Maintenance Programme; (3) Leveraging Information Communication Technology (ICT) ICT in Basic Education; (4) Galvanising Growth, Investment and Employment Creation along the Mining Value Chain and Mining Related Communities; (5) Biodiversity; and (6) Agriculture, Land Reform and Rural Development and (7) Chemicals and Waste. For instance, through Ocean Economy delivery lab, a total of R24,5 billion has been unlocked in investments. This global figure consists of R15,6 billion of investments by government and R9.1 billion of private sector investments, as well as R1,25 billion of private sector investments in the process of being secured. A total of 6 517 jobs have been created.

Operation Phakisa in the health sector, the Ideal Clinic Realisation and Maintenance Programme, is a systematic intervention designed by government to the improve quality of care at our Primary Health Care facilities. By the end of June 2017, a total of 1037 clinics in the public sector had achieved ideal status. This performance translates to 30% of the existing stock of 3,477 PHC facilities. The set target is that 2,823 PHC facilities should become ideal by March 2019.

Operation Phakisa in the Basic Education sector seeks to leverage and enhance the use of Information Communication Technology (ICT) for teaching and learning. Since this Phakisa was launched in October 2015, a total of 3,455 schools have been connected to the internet and received devices under the Universal Services Access Obligation (USAO) project. 54% of the existing 24,000 schools had acquired connectivity through various technologies. A total of 31 800 teachers have been trained in various levels of Information Communication Technology skills. The archaic methods of teaching and learning are being rapidly replaced as teachers and learners move towards the 21st century.

The DPME's monitoring (and evaluation) support to Presidential Special Projects has added value. A DPME commissioned formative evaluation of the King Sabata Dalindyebo Municipality (KSD LM) Special Project, which was declared a Presidential Intervention (PI) node by President Zuma in August 2009, with the aim of revitalising the town of Mthatha, reveals important lessons²⁰. On the positive side, the evaluation found that the Presidential Intervention had resulted in increased expenditure of around R4 billion on infrastructure including roads, water, electricity, Mthatha bridge and airport, a very significant amount illustrating that political and administrative pressure for coordination and focused attention with greater project management does make a difference. Furthermore, it was also found that the whole of government coordination approach of all 3 spheres of government created the synergy necessary which may be able to deal with stubborn social and institutional problems if root causes are sufficiently addressed from the outset. The evaluation also found key weaknesses. From an M&E perspective, it was found that the Presidential Intervention had no defined objectives, indicators time frames, and that the main indicators of success that were monitored were project management indicators i.e. whether projects are implemented according to deadlines and to a lesser extent within budget²¹. Amongst the key policy recommendations were that if systemic issues are to be addressed a proper diagnostic is needed to identify the root causes, change strategies and options, and to inform a plan. This should be the first stage of intervention. Furthermore, all Presidential Interventions should follow the whole-of-government approach based on existing Master Plans which enjoy the support of all stakeholders. Where Master Plans do not exist, collaborative development of such plans should be prioritised in order to ensure a well-planned and sequenced intervention²².

²⁰ Impact Economix (2014): Report of the Formative Evaluation of the Presidential Intervention within the King Sabata Dalindyebo Local Municipality, Eastern Cape Province, Final Report, 4 July 2014.

²¹ Ibid.

²² Impact Economix (2014): Report of the Formative Evaluation of the Presidential Intervention within the King Sabata Dalindyebo Local Municipality, Eastern Cape Province, Final Report, 4 July 2014.

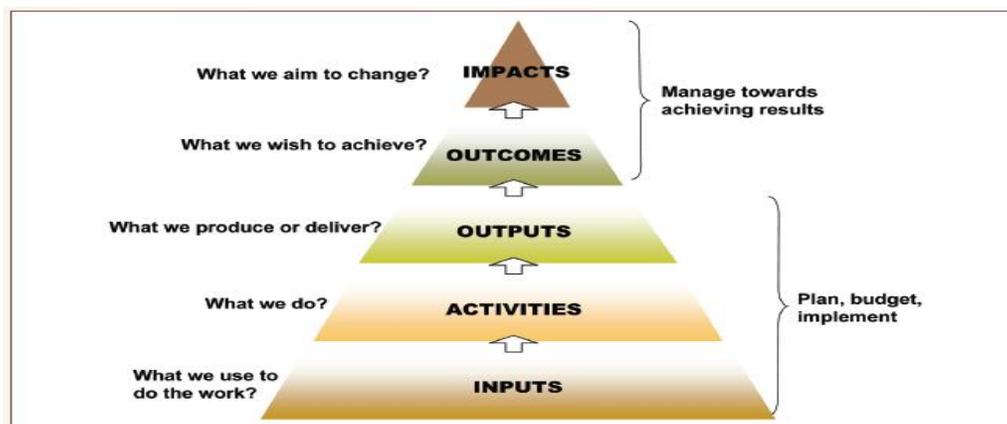
However, there are also common challenges across the different DPME’S monitoring systems. These include: (a) uneven development of capacity for monitoring; (b) lack of consequence management; (c) lack of implementation of remedial action to redress poor performance; (d) lack of ownership of monitoring processes by the administrative leadership of government (DGs/HoDs), which impacts on the ownership by political principals (Executive) (f) uneven development of monitoring systems between spheres of government; (g) lack of a culture of evidence-based policy making, amongst others. In summary, the glass is half-full. The identified challenges point externally, to other government departments. However, internal challenges exist within the DPME itself, which is that the Department has not presented a unified and coherent monitoring approach to the rest of government.

11 Key issues to be Resolved

The key question for the DPME to address is whether the purpose of existence of the Department is still the same in 2017, as it was when it was formed in January 2010, or as it was defined by Phillips et al in 2014. A related question is whether the environment in which the DPME functions has remained the same. The answer is no. Cabinet, government and community expectations of the DPME have evolved and expanded rapidly. The DPME is expected to cast its monitoring activities beyond national government departments, to State Owned Companies and even to Non-Government Organisations that receive funding from the state.

The DPME is now expected to monitor every aspect of the results chain framework, inputs, activities, outputs, outcome and impact, as outlined by National Treasury in **Figure 4** below.

Figure 4: Key Performance Information Concepts



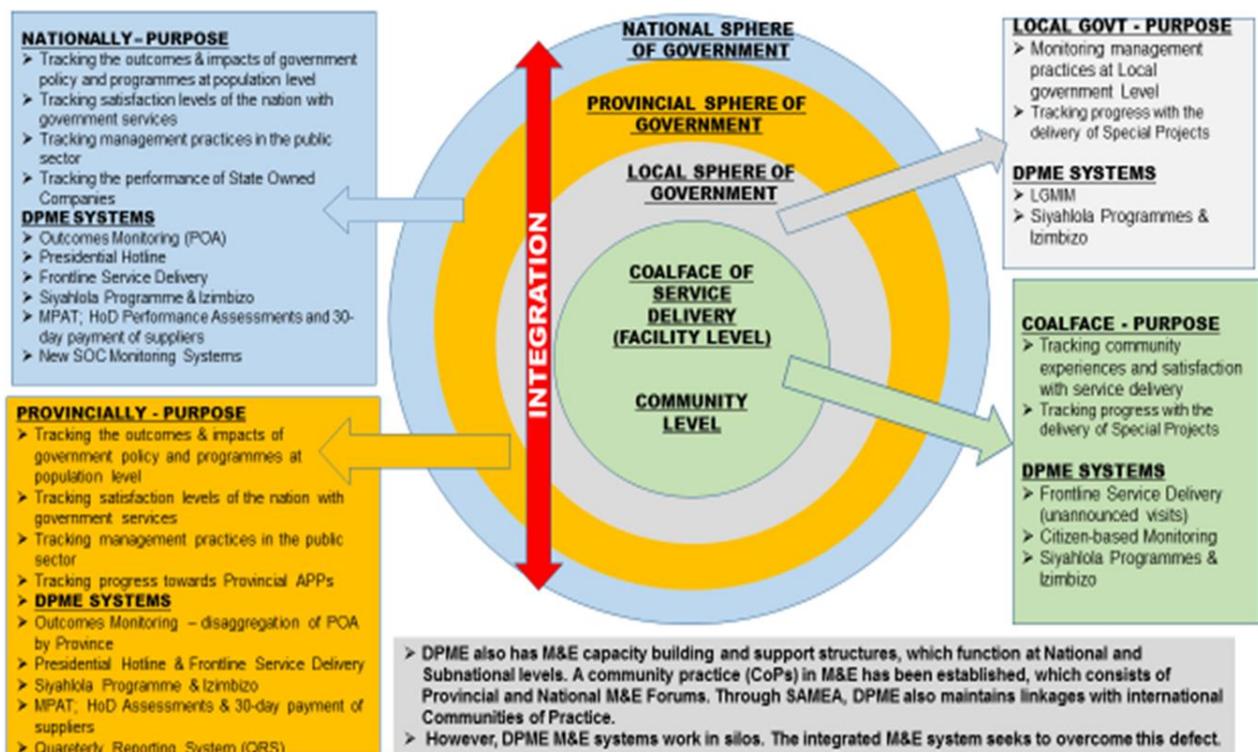
Source: *National Treasury, 2007: Framework for Managing Performance Information*

A related question would be: what priorities or interventions should the DPME be monitoring at different levels of government? And as with all areas of government, if new roles are taken on, others need to be dropped. This has not happened. The overlap (perceived or real) between the monitoring roles of government departments must also be addressed urgently.

12 Establishment of an Integrated and Comprehensive Monitoring System

An integrated and comprehensive monitoring system for the government of South Africa is hereby proposed. This system builds on what already exists within the DPME, but also proposes a fundamental shift in the manner in which existing systems have functioned to date. As reflected in **Figure 5** below, the DPME already has a strong foundation of M&E systems functioning at all levels of government and across geographic spaces, which track different aspects of service delivery at each level. However, although the DPME's M&E systems have a national footprint, they are functioning separately, without integration or communication, except on ad hoc basis. This is one of the defects that the integrated M&E system seeks to overcome.

Figure 5: Single View of DPME'S Existing Monitoring Systems across spheres of government



12.1 Goals

The proposed integrated and comprehensive monitoring system will enable the DPME, as a centre of government, working with other core departments, to achieve the following goals:

- (a) Track the development impacts of government policies, plans and programmes at population level (nationally). This is best done through evaluation studies, but which are informed by monitoring data.
- (b) Track whether national policies are translated into effective service delivery programmes at sub-national level (provincial and district levels.)
- (c) Track progress at the coalface of service delivery (community and facility levels), being the government facilities (clinics; hospitals; schools; police stations; Licensing and Vehicle Testing stations; Home Affairs offices, amongst others) and ward levels.
- (d) Track the performance of State Owned Companies (SOCs) and public entities
- (e) Develop policy frameworks for monitoring youth development, ensure mainstreaming and track implementation thereof.
- (f) Enable DPME to triangulate data from its different M&E systems, as well as external M&E systems, to provide a holistic picture of the performance of government and impacts on citizens.

12.2 Features of the system

As reflected in **Figure 6** overleaf, a central and bold principle of the integrated M&E system is that in the current environment, all existing DPME M&E systems should contribute in complementary ways towards tracking progress on addressing the triple goals embodied in the NDP's Vision 2030, as well as towards building and entrenching a culture of effective M&E within government. DPME'S M&E systems should therefore function like a well-oiled machinery.

Figure 6: Contribution of DPME M&E Systems towards tracking progress towards the NDP 2030 promise to the citizens of South Africa



➤ Continuous capacity building across levels of government; continuous building of M&E capabilities within DPME and continuous learning and reflection are core anchors of the integrated M&E system

The proposed integrated M&E system of the DPME seeks to:

- (a) Overcome fragmentation in monitoring
- (b) Create an effective interface between DPME M&E systems
- (c) Create effective communication across systems
- (d) Facilitate comprehensive reporting to Cabinet and Parliament (and other DPME stakeholders) based on evidence generated through several of DPME's M&E systems
- (e) Position the DPME to provide a better M&E service to Cabinet, Parliament and society at large
- (f) Support the development of a National Data Warehouse in the DPME, without which an integrated system cannot function.
- (g) Table 4 below depicts the purposes (priority areas / focus areas) for which monitoring is required, the DPME M&E system that.
- (h) Address the specific need; the primary client; the level of analysis (or focus) of each M&E system and the proposed interface with other reporting systems.

The DPME is cognisant that monitoring entails far more than reporting. Monitoring focuses on tracking progress to ensure that programme implementation remains on track. The table below deliberately focus on reporting which is the last stage of monitoring, because it seeks to reflect the clients of the outputs of monitoring process.

TABLE 4: PURPOSES OF DPME M&E SYSTEMS; PRIMARY CLIENTS AND LEVEL OF ANALYSIS

#	PURPOSE OF MONITORING	DPME MONITORING SYSTEM	PRIMARY CLIENT	LEVEL OF ANALYSIS				INTERFACE WITH OTHER DPME REPORTING SYSTEMS
				National	Provincial	Local Govt	Government facilities	
1	Tracking progress towards the NDP 2030 implemented through the MTSF 2014-2019	Programme of Action (POA) System POA Reports	Cabinet Outcome Coordinating Departments	✓	✓	✓	✓	POA Progress reports to Cabinet to include findings from Frontline Service Delivery Monitoring As part of Operation Phakisa

		DPME MONITORING SYSTEM	PRIMARY CLIENT	LEVEL OF ANALYSIS				INTERFACE WITH OTHER DPME REPORTING SYSTEMS
				National	Provincial	Local Govt	Govt facilities	
2	Frontline Service Delivery Monitoring	Presidential Hotline Reports	Presidency Cabinet Government Departments		✓	✓	✓	Dedicated reports and produced and submitted to Cabinet and line function government departments
		Unannounced visits	Line function Government Departments Cabinet		✓	✓	✓	Dedicated FSD reports are produced and shared with visited facilities and their authorities. Frontline Service Delivery Reports to be shared with the Outcomes Monitoring for inclusion in POA Reports
		Citizen-based Monitoring Reports	Government Departments		✓	✓	✓	Dedicated reports submitted to Cabinet. Reports should also be integrated into POA Reports
3	Monitoring of Special Projects	Siyahlola Presidential Monitoring Programme	Presidency Premier's Offices	✓	✓	✓	✓	Special reports submitted to the Presidency; National Government Departments and Premier's Offices
		Revitalisation of Distressed Mining Communities	Inter-Ministerial Committee (IMC) Cabinet		✓	✓		Special reports prepared for the IMC and Cabinet Linkages exist with Operation Phakisa Mining
		Operation Phakisa	Minister in the Presidency Cabinet	✓				Progress Reports are submitted to the Minister. Linkages between Progress Reports and POA Reports are reflected
4	Monitoring of Management Practices at Local Government Level	Local government Management Improvement Model (LGMIM)	District and Local Municipalities Cabinet		✓	✓		LGMIM Reports are also integrated into POA Reports for Outcome 9

	PURPOSE OF MONITORING	DPME MONITORING SYSTEM	PRIMARY CLIENT	LEVEL OF ANALYSIS				INTERFACE WITH OTHER DPME REPORTING SYSTEMS
				National	Provincial	Local Govt	Govt facilities	
5	Monitoring the progress with Youth development	NYDP 2020 monitoring framework	Deputy Minister in the Presidency					Monitoring activities are led by the Sector Monitoring Branch of the DPME Progress reports are submitted quarterly by the work streams which are chaired by the OFs
6	HOD Performance assessment	Manual reporting system based on reports submitted to the DPMSA	Cabinet	✓	✓			Reports on the submission of HoD Assessments are integrated into POA Reports for Outcome 12
7	30-day payment of suppliers	Manual reporting system, drawing from National Treasury reports	Cabinet	✓	✓			Reports on the payment of suppliers within 30-days are integrated into POA Reports for Outcome 12
8	MPAT	MPAT M&E system well established	Cabinet	✓	✓			Aspects of MPAT Reports are integrated into POA Reports for Outcome 12

12.3 Desired outcomes of the integrated system

- (a) An integrated responsive monitoring system
- (b) Responsive plans and budgets
- (c) Enhanced focus on outcomes and impacts
- (d) Better informed citizens about their expectations from government
- (e) Monitoring relevant at two level (i) to the issues on the group (ii) to the policy makers and planners
- (f) Increased coverage through leveraging partnerships
- (g) Improved planning and performance

13 Performance Dialogues

The DPME initiated the methodology of quarterly performance dialogues with government departments, which review the performance of the sectors and jointly agree on supportive interventions where these are required. However, participation has been at middle management and senior management level, not at executive management level. Going forward, it is essential that performance dialogues are strengthened, convened at the level of Director-General and Deputy Directors-General, and that they focus on strategic factors impacting on performance.

14 Role of FOSAD

Structures such as the Forum for South African Directors-General (FOSAD) should also be utilised more effectively than has been the case to date, to discuss the service delivery performance of government and agree on strategies for continuous improvement.

15 Limitations of the New Approach

Without an integrated system, a real risk exists that the DPME through its 12 monitoring systems will continue to traverse and crisscross the country, without unity of purpose, and not achieve the desired effect, which is monitoring for impact, or monitoring that improves people's lives, through improving the performance of government. Another important caveat is that the DPME should focus on the unique functions that are not perceived as a duplication of the work of other Departments. Some M&E functions, particularly the public sector monitoring functions, can be construed as a "mandate creep" of the responsibilities of DPSA, CoGTA and Treasury, as well as the Public Service Commission. The DPME will have to define its role strategically in relations to these functions.

16 External Capacity issues

- (a) Inadequate coordination of planning across government (e.g. economic and infrastructure planning)
- (b) Uneven follow-through on decisions made by Cabinet
- (c) Inadequate accountability for poor delivery performance
- (d) Monitoring process incorrectly viewed as a performance appraisal and inherently punitive compliance-based system
- (e) Inequity in the distribution of resources between provinces
- (f) Inadequate collaboration between government departments in pursuit of common objectives society
- (g) Inadequate collaboration between private and public sectors and civil society
- (h) Urgent need to monitor the capacity of SOCs.

17 Internal (DPME) Capacity Issues

- (a) Inadequate capacity to carry out all new functions assigned to the DPME (National Spatial Development Framework; SPLUMA)

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- (b) Fragmentation in the work of the National Planning Coordination and Sector Planning and Monitoring Branches
 - (c) Complexity of monitoring concurrent functions (Basic Education; Health; Environmental management)
 - (d) Inadequate capacity to monitor SOCs

18 Possible Structures and Options

18.1 Pivotal Role of the Centre in M&E

- (a) The location of the DPME at the centre of government, in the Presidency, should be maintained so as to continue provide timeous and direct support to the Head of State and Cabinet. Lessons from Indonesia, Singapore and Malaysia accentuate this.
- (b) In the Offices of Premiers and Mayors, structures should be established to perform functions similar to those of DPME
- (c) Reporting across all three spheres of government should be enhanced – for instance- through FOSAD and the Presidential Coordinating Council
- (d) Planning and monitoring should be aligned
- (e) Institutionalisation of monitoring crucial for accountability.
- (f) Governance and accountability systems should be enforced and consequence management implemented

18.2 Governance

- (a) Political will and strong leadership are required for enhanced monitoring of government performance and service delivery progress.
- (b) Cabinet has demonstrated this with its consistent focus on Outcomes Monitoring and the President has done the same with the Siyahlolola Programme.
- (c) More remains to be done within National Ministries; Premiers and Mayor's Office

19 Measures to Accelerate Implementation of the NDP

- (a) Alignment of plans and reporting with NDP
- (b) Craft the right indicators to track activities that will deliver on the outcomes
- (c) Address socio-economic issues and social cohesion simultaneously
- (d) Enforcing implementation of remedial action
- (e) Monitor the implementation of remedial actions

-
- (f) Monitor the whole of society contribution (NGO, Business, and CBO) to the NDP.

19.1 Proposals for change

- (a) Review how the AG audit performance
- (b) Increase visibility of DPME as a champion of progressive monitoring not compliance monitoring
- (c) Reorganise functions at L.O.G to accommodate DPME role and avoid duplication
- (d) Signed performance agreements should include Premiers and Mayors
- (e) Empower managers at frontline to solve problems
- (f) Citizens feedback to be incorporated into monitoring
- (g) Create a platform for sharing civil society monitoring
- (h) Review knowledge and learning forum to broaden the inclusion of local government innovation
- (i) Monitor training and roll it out to all government levels

20 The Knowledge Innovation Hub

- (a) Provide a platform/mechanism for stakeholder information shared across government with respect to PME.
- (b) SITA should play a critical role in the location and integration of information
- (c) Integrate innovation, technology and content to improve service delivery
- (d) Following the principle that government information must be accessible, there must be efforts to set standards, develop common definitions and data dictionary to allow for interoperability
- (e) Provide platform for generation of knowledge and training for new graduates, e.g. new analysts, whilst at the same time managing competing knowledge hubs, issue of privacy.
- (f) Ensure cost-effectiveness, access, value add to whole of the country, sustainability and use of the system
- (g) System needs to be simple and user friendly
- (h) Bring diverse people together, using open space technology
- (i) Ensure data security and privacy
- (j) Encourage sharing of information amongst government institutions.

21 Areas to Include in Legislation

Extensive inputs were submitted into the Draft DPME Bill submitted to State Law Advisors, to strengthen the M&E roles functions.

The areas that legislation need to address may include:

- (a) Legal framework to link PMDS to delivery agreements
- (b) Explicitly spell out the roles of OTPs in relation to condition of M&E and Information
- (c) Framework for data and information sharing and standards
- (d) Provide outline for minimum standards with respect to M&E units
- (e) Provide legislative framework for social audits for all sectors
- (f) Legislation must enforce that planning must be informed by M&E
- (g) Improvement in managing the interaction between all levels of the government to ensure compliance from Executive Authorities and intervention by National government
- (h) Provide legal framework for enforcement of consequence management

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ANNEXURE 1: HIGHLIGHTS OF SUCCESSES AND CHALLENGES OF DPME M&E SYSTEMS

MONITORING SYSTEM	SUCCESSES	CHALLENGES
1. Outcomes Monitoring	<ul style="list-style-type: none"> • Outcome-based approach has taken root in government • Strategic Plans and APPs of government are increasingly aligned to the NDP 2030 and MTSF • Three times a year Cabinet dedicates an entire week to review progress towards the NDP 2030 and MTSF, and draws heavily on Critical Briefing Notes and recommendations of DPME • Improved outcomes in health; education; social development, also influenced by targets set in the MTSF 2014-2019 	<ul style="list-style-type: none"> • Uneven implementation of remedial actions recommended by DPME • Inadequate accountability of government departments for poor performance • Lack of consequences for failures of accountability • Uneven development of information systems in governments which complicates monitoring
2. Frontline Service Delivery Monitoring	<ul style="list-style-type: none"> • FSDM has been institutionalised. Several sectors (Justice, SAPS, SASSA, Home Affairs) have developed their own frontline monitoring programmes that monitors service delivery across all facilities. • Frontline monitoring has been able to demonstrate the <ul style="list-style-type: none"> ▪ value of collecting views of service users to measure the quality of service delivery. ▪ Value of on-site verification of the reported results • Culture of M&E is being instilled within facility management as we continue to engage with facilities on implementation of the improvements within their facilities 	<ul style="list-style-type: none"> • Monitoring and evaluation systems in South Africa still evolving – limited capacity in data collection, analysis, dissemination and knowledge management • Inadequate investment on service delivery improvement initiatives. (influenced by budget constraints, delegation powers, compliance monitoring instead of decision making). • DPME is not able to resolve challenges faced by sectors • No consequence management for non-compliance • FSDM implemented as a stand-alone programme and not adaptive to the changing environment and focus on real issues
Siyahlola Presidential Monitoring Programme	<ul style="list-style-type: none"> • 25 Siyahlola Presidential Monitoring Programmes have been undertaken by the President since 2009, of which 12 have been completed or nearing completion has unlocked over R10 billion in investments. • The Siyahlola Presidential Monitoring Programme has succeeded in elevating service delivery challenges to The Presidency as conceptualised, while addressing socio-economic challenges in the country. • Siyahlola project sites have gained much national visibility, building people confidence in the centre of government. The adoption of a service delivery monitoring approach marked the beginning of a process for improving government performance and supporting service delivery plans, and also contributed to the strengthening of inter-governmental relations. 	<ul style="list-style-type: none"> • Weak leadership with political battles impeding the ability of municipalities to resolve their problems • Battles within and between the municipalities, with municipal trade unions and with the province. • Presidential Interventions being perceived as imposed by the Presidency • More work still need to be done for purposes of attaining improvements on the pace of delivery, especially efficiency and sustainability.
3. Citizen-based Monitoring	<ul style="list-style-type: none"> • Innovative use of existing community programmes / structures (CDWs, ward committees, traditional councils, community work programmes, CPFs, clinic committees etc.) • Successfully leveraged on existing local and community structures and programmes, using participatory approaches. This has resulted in strong local ownership and effective use of resources. 	<ul style="list-style-type: none"> • Institutionalising the participatory problem-solving approach that underpins CBM work, which is foreign to the way government officials are accustomed to work, and there is currently limited capacity to facilitate this kind of work • Implementing and monitoring commitments made through CBM processes • Internal capacity constraints have prevented the development of effective systems for monitoring commitments made through CBM processes

MONITORING SYSTEM	SUCSESSES	CHALLENGES
	<ul style="list-style-type: none"> • Identification of root causes through multi-stakeholder dialogues • Bringing government officials, community leaders and members together to subject problems to a root-cause analysis have provided valuable insights into the underlying causes of service delivery problems • Developing solutions jointly through facilitated dialogue has built a shared purpose between government officials and community members. 	<ul style="list-style-type: none"> • The CBM initiative has struggled to effectively integrate with other programmes in DPME, to leverage on relationships and capacities.
4.	Management Performance Assessment To (MPAT) <ul style="list-style-type: none"> • Enhanced awareness of key legislative environment that governs Strategic Management, Governance and Accountability, Human Resource Management and Financial Management • Improved administration and management practices in the public service as enablers of service delivery • MPAT has facilitated peer learning amongst the public service departments • MPAT has been adopted by some of the public entities • In the process of being adopted and adapted by Benin and Uganda 	<ul style="list-style-type: none"> • Excessive focus on the scores rather than the practices, resulting in malicious compliance • Inconsistencies in moderation • DPME/DPSA/NT/PSC/AG – centre of government coherence • Perceptions of a reporting burden on government departments
5.	Local Government Management Improvement Model (LGMIM) <ul style="list-style-type: none"> • Close to 100 municipalities assessed by 2017/18 • Increased recognition of its value as a management information tool for municipal management • Aligns fully with best practices and compliance requirements of other sector departments 	<ul style="list-style-type: none"> • Contribution of Provinces towards implementation is uneven. This includes supporting municipalities to develop improvement plans in areas of underperformance
6.	Operation Phakisa <ul style="list-style-type: none"> • Operation Phakisa methodology has taken root in government • 7 Operation Phakisa Delivery Laboratories have now been convened • Ocean Economy has unlocked R24billion in investments and 6,500 jobs 	<ul style="list-style-type: none"> • Uneven capacity for monitoring Operation Phakisa initiatives in leading departments • Uneven development of governance structures for different Operation Phakisa Labs
7.	Revitalisation of Distressed Mining Communities <ul style="list-style-type: none"> • Compensation for occupational diseases has been fast-tracked • Completed a suite of research that informs the design of interventions in mining towns, including a diagnostic of all the mining towns and labour sending areas to understand the levels of distress and help shape interventions per town/community, migrant labour study, comparative study of the legislative and practice areas of four mining countries, Ghana, Zambia, Australia and SA. • Implemented a fully-funded study tour for the IMC and senior officials to Australia to learn from their mining industry • Working with local municipalities on local economic development plans • Support received from Eastern Cape and Limpopo Office of the Premier • Working in partnership with a range of academic and civil society organisations deepen the impact of the IMC 	<ul style="list-style-type: none"> • Stakeholder management- Participation and reporting by core and supporting departments is very weak and there is a lack of traction in SPP work. • No support from Director Generals of core and supporting departments- there is sign-off of reports by DGs. DGs do not attend the Technical Task Team meetings where the IMC reports are signed off prior to the IMC meeting. The result is that ministers and deputy ministers attend the IMC without being briefed by DGs • Payments of pension and provident benefits to ex-mine workers has been slow • Minimal support from the DMR as a core department • Unfunded mandates- with the exception of the National Department of Human Settlements which has money ring-fenced for mining towns • No dedicated funding for the work of the IMC within DPME

MONITORING SYSTEM		SUCSESSES	CHALLENGES
		<ul style="list-style-type: none"> • Linking the work of the SPP with that of the Mining Phakisa 	
8.	Socio-Economic Impact Assessment System (SEIAS)	<ul style="list-style-type: none"> • A total of 252 proposals (mainly bills, regulations and policies) were subjected to SEIAS – 117 in 2015/16 and 135 in 2016/17 • National departments have institutionalised the use of the SEIAS for improving proposed policies and legislation with buy in and support from Ministers and Directors General • Other institutions such as Parliament, Chapter 9 and NEDLAC use SEIAS reports for their contributions to proposed policies and legislation; • SEIAS has guided departments in looking for innovative ways and ensuring that new policies and laws do not create pressure on limited fiscal resources 	<ul style="list-style-type: none"> • Lack of evidence based policy making including evaluations or using concept documents to inform amendments or development of new proposals; • Limited consultation with affected stakeholders both internally within departments and across; • Inconsistent application of SEIAS within departments, especially for policies and Regulations that are not submitted to Cabinet; • Delays by departments in finalising bills in line with their Legislative programme as submitted to the Presidency and Parliament.
9.	30-day Payment of Suppliers	<ul style="list-style-type: none"> • Through DPME interventions, a total of R327 million has been paid by government departments to service providers and suppliers. 	<ul style="list-style-type: none"> • Amounts owed to service providers and suppliers by Provincial government departments, beyond the 30-day payment period, exceed R5billion • Amounts owed by national departments exceed R150 million • Poor financial management that result in lack of funds • Lack of consequence management.
10.	Heads of Departments Performance Assessment	<ul style="list-style-type: none"> • A significant improvement of 95% submission rate of HOD performance agreements was reached in 2017/18 filing season (with 90% filed on time). 	<ul style="list-style-type: none"> • The current framework does not link HODs performance to organizational performance • Some PAs did not indicate who would mediate in case a dispute arises as required by HoD Assessment Framework • Certain Performance Agreements did not capture activities which were highlighted in the Budget Speeches, SOPA and SONA, before the start of the new accounting period.

Roles and coordination of key players at national level in the planning, budgeting and PM&E system	
1	Both Indonesia and Malaysia have Prime Minister/Presidential Delivery Units that are very focused on the “business-unusual” aspect and on a limited number of outcomes.
2	Compared to South Africa, both countries have a much stronger and well-defined planning function and institution, in Indonesia BAPPENAS, and in Malaysia the EPU and these are supported by legislation.
3	BAPPENAS also integrates the planning and business-as-usual M&E into one organisation. In Malaysia they both fall under the Prime Minister’s Office, but with separate structures to take responsibility for planning and M&E of the outcomes (PEMANDU), M&E of other government projects (ICU), and overall planning (EPU).
4	The Ministry of Finance plays an important role in both countries, although the roles are emergent, and performance-based budgeting is not yet in play. Indonesia in particular has come to learn from South Africa.
5	Indonesia has a system of super-ministers covering economic, social and subnational. This makes it easier to coordinate within those clusters, but has not solved the challenges across these, or between national and subnational.
6	Indonesia covers a huge area, and many islands, and has a relatively decentralized system, where coordination is a major challenge. Malaysia has a centralised system where states and local government have few powers, and Singapore is a small city state, and so co-ordination is easier in these two cases. The strong articulation between levels of government in Malaysia cannot be achieved RSA as the Malaysian system is much more centralised, but South Africa must find ways to build more effective cross-sphere working, and in our decentralised model this cannot be just from a control mode but from a cooperation mode.
7	Malaysia was explicit about using a flexible situational leadership approach, directive in the beginning, but letting go as transformation happened. At this stage in RSA we have to build much more consensus but in a way that achieves. The emerging work on evaluation is demonstrating this. An idea that emerged during the visit is that a high level DG Forum where the DG DPME meets with the DGs of Provinces would help in building consensus and in driving PM&E as a mechanism for improving delivery.
8	Indonesia has also introduced an innovative system of community-level planning , budgeting and M&E called PNPM which is applied at scale and having major impacts, and the transparency is leading to very low levels of corruption. A similar proposal was commissioned by DCOG but at the moment is languishing. This could be a good model for South Africa.
9	Both Malaysia and Indonesia have legislation underlying the planning, budget and M&E systems, unlike South Africa where legislation covers mainly just the financial side. A more formalized, systematic and predictable system in South Africa would be helpful and legislation would assist with this.
Operation of the Planning, M&E and Budget system	
10	Indonesia, but not Malaysia, has a long-term (20 year) plan , as South Africa will have, and both have a medium-term plan, which South Africa does not have, which integrates the outcomes into a broader planning picture. The medium-term plan helps to integrate and develop a sustained agenda for the term of government.
11	Implementation (as opposed to budget) programmes are identified in both countries, although they are not clearly defined, which is also true in South Africa. This contrasts with Mexico, where they have

	a clear and common structure, a theory of change, log-frame and rules of operation. In Malaysia programme refers to a group of projects or a non-physical intervention.
12	In Indonesia and Malaysia the outcomes are elaborated into much narrower action plans than is the case in South Africa. The action plans are taken to a detailed level resulting in detailed implementation programmes (while in South Africa the delivery agreements are higher level sectoral/cross-sectoral plans). So the action plans are narrower even than the output component of the delivery agreements, and make the critical link with implementation, so are easier to implement and to drive.
13	In Malaysia and Indonesia the monitoring of outcomes is split from business as usual, with different structures responsible. This helps to keep the focus in the delivery units on achieving the outcomes quickly.
14	Indonesia has a developed system of evaluation and is explicitly looking at ex-ante, during implementation and ex-post evaluation. It would be useful to get more information on the system, as this was not a focus of this visit. Malaysia's system seems to be outcome monitoring rather than evaluation. The BRISA institutional assessment also looks interesting and there is room for sharing with the MPAT process in South Africa.
15	The Implementation and Coordination Unit (ICU) M&E system in Malaysia focuses on monitoring projects and provides a backbone for the M&E system of the country, reflecting also that Malaysia is a much more centralised country. Individual ministries such as Education have also invested a lot in information management systems. South Africa has no such system except the emergent Programme of Action (PoA) which means that aggregate reporting is a manual affair. The comment was made that the Information Management System empowers people – inputting data at decentralized points. When they made the system electronic they saw huge errors in the manual system. This was a critical success factor as reviewed independently by the World Bank and McKinsey. Child, teacher, classroom, school, district, region - relationships become apparent.
16	The focus on delivering more for less appears to be delivering results. Across the world, including South Africa, underspending is seen as negative, but underperformance should be differentiated from achieving targets but spending less . Our budget analysis doesn't focus on performance against spending. In Malaysia they have a system where savings can be used for spending over approved limits on interventions.
Application of the outcomes approach	
General issues	
17	Both Indonesia and Malaysia have Prime Minister/Presidential Delivery Units. Both are very focused on the “business-unusual” aspect and on a limited number of outcomes. DPME has a tension between its work on the outcomes and managing a range of other M&E functions and there is a danger of losing the focus and urgency around the outcomes. This brings a tension between the roles of delivery unit (action) or M&E unit (information) . The dangers of covering both in DPME need to be discussed and how best to ensure both aspects can be covered effectively.
18	The bringing in of external ideas and approaches has brought a dynamism and can-do culture in relation to the outcomes in Malaysia in particular. It would be useful to explore more use of secondments to centre of government departments like DPME and Offices of the Premier to bring in different skills.
19	Another general feature observable in Malaysia in particular is an excitement and national pride around the outcomes, and as people want to be associated with success this creates interest. In addition the problem-solving focus of all meetings is helpful in generating a culture where problems are overcome and so implementation can speed up.

20	The degree of visible political support and profile behind the outcomes is stronger in Malaysia in particular, with a very hands-on approach by a Minister focused specifically on the outcomes, and on problem-solving to address the outcomes. In South Africa the outcomes are one among a number of priorities and so there is less focus. This means that Malaysia is seeing more quick and visible progress, which is self-reinforcing as this then builds confidence in the outcomes approach and reinforces the focus. In Malaysia the success with the first set of priorities (Government Transformation Programme), then led to a second set (the Economic Transformation Programme), using a similar approach.
21	In South Africa the President has met with the Ministers once around the outcomes. It would be helpful if this could become a 6 monthly cycle. However this would need to be backed up by more confidence in the reporting.
22	The more focused plans behind the outcomes in Malaysia with much more specific implementation planning (action plans) has helped to speed up implementation. Part of the key to the success of the GTP, according to the government, is that it is an “ integrated, drilled down programme ” rather than a macro-plan. This is key, as the GTP report explains: “One of the key features is that we are able to drill down from the biggest to the smallest detail of every NKRA and NKPI. Every implementation stage, tactical initiative and action plan; as well as individual persons or locations can be identified, tracked and monitored. Data, statistics and figures reflect the true nature of the situation without any round-ups.” South Africa is now focusing on strategic drivers, and development of a focused implementation plan (programme and action plan) would be very beneficial. This may specify locations as well as a much narrower emphasis where it will drive change, and be implementable in a shorter time period. Then a different element of an output could be selected for a programme and action plan.
23	The establishment of task forces on the outputs. This was not investigated but along with the DMOs within organisations, standing task forces across the action plans may be important for problem-solving and facilitating implementation.
24	The intensive weekly monitoring and problem-solving cycle is very impressive. A similar urgency would assist in South Africa, even if the cycle was monthly not weekly. This should be discussed to see how it could be taken forward, perhaps in sample outcomes, eg combined with the strengthening of delivery management units (see below).
25	The unblocking/debottlenecking role is much more developed in Indonesia and Malaysia than in South Africa. This role in relation to DPME and Offices of the Premier needs to be thought through much more consciously and capacity allocated for this. This is likely to have a big impact on performance.

Tools and methodologies

26	The intensive workshopping in labs helped to create the urgency and got the plans developed quickly and signed where this took up to 6 months in South Africa. 6 week labs are not practicable here, but perhaps 2-3 weeks would really enable a quality of focus and make the process much faster. As this was middle-level managers, who reported weekly to senior managers this should be possible, and if well facilitated could be very productive. This is also a lesson for other planning processes.
27	The Delivery Management Offices for outcomes in ministries would seem to be very useful as it creates a real nucleus for driving the outcomes as opposed to business as usual. Some departments in South Africa have set up similar structures (Education, Health) and the operation of these should be reviewed to see if some lessons could be drawn from Malaysia and how these can be strengthened. A delegation from Education and Health could visit the DMOs in Malaysia, and then some Malaysians could come as peer reviewers and assist in planning a way forward in RSA.

28	PEMANDU has a Board made up of politicians, as well as a group of international experts as a panel to verify its reports and give feedback on its approach. In addition the reports are audited by Price Waterhouse Coopers. The model of an international advisory panel could be relevant for DPME, eg using the CEO of CONEVAL in Mexico, of SINERGIA in Colombia, and someone from PEMANDU.
29	Communication around outcomes was very impressive in Malaysia, with structured involvement of stakeholders in the planning, outcomes documents available at different levels of depth (260-20 pages) weekly reports used for weekly messages for the media, and there are regular inserts in the newspapers. The NKRA's and PEMANDU are also high profile and mentioned frequently in the newspapers as we could see ourselves. Singapore also has a very nice magazine-type summary of the delivery agreements which would be a good model.
30	There appears to be a stronger verification system in both countries, including random sampling of physical projects which are visited along with the relevant departments. How can verification be strengthened in South Africa?

Source: The Presidency, Department of Performance Monitoring and Evaluation, Report on Study Tour to Indonesia, Malaysia and Singapore 4 to 15 October 2011, 17 November 2017, Programme to Support Pro-Poor Policy Development (PSPPD), DPME/PSPPD 46

Annexure 2: TERMS OF REFERENCE OF THE PM&E FORUM

- (a) Regular meeting of the Forum (frequency)
- (b) Standard definition of concepts we use in PM&E in government – e.g. SMART principle to craft indicators
- (c) Communicate topics for discussion in forum on time
- (d) Monitor the progress of institutionalising M&E
- (e) Develop community of practice amongst different stakeholders
- (f) Documents need to be given all departments in advance
- (g) Clear about state owned companies participation (roles of SOEs)
- (h) Municipalities be part of this forum, interface district and local municipalities
- (i) Appreciate each other monitoring of NDP and SDG progress, e.g. Country reports to UN
- (j) DPME Letter to nominate to represent the institution on the Forum
- (k) Need to interface with local M&E Forum
- (l) Need to engage with DPME strategy and comments stages of draft legislative
- (m) Open government partnerships-
- (n) Missed critical issues to manage the country – influence crucial areas of monitoring.
- (o) Constituency of membership and criteria for membership
- (p) Ensure that the voice of the citizens is heard
- (q) Representation of civil society and include work of civil society
- (r) The forum to give guidance on areas that must be monitored (crucial areas that we must pay attention)