THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION

DPME Guideline No 3.1.6

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

Created: 27 July 2012
First issued: 5 February 2013
Updated in 31 March 2014

Addressed to	Provincial Directors-General, and Heads of M&E in the Offices of the Premier
Purpose	To provide guidance on the context of M&E, guiding principles and generic functions of M&E components in the Offices of the Premier.
Reference documents	This guideline draws from the: • Policy Framework on the Government-Wide Monitoring and Evaluation System. • National Evaluation Policy Framework. • A Framework For Strengthening Citizen-Government Partnerships For Monitoring Frontline Service Delivery (2013) It links to: • All DPME guidelines and tools applicable to various M&E programmes that are run collaboratively with the Offices of the Premier. • The Role of the Offices of the Premier in Government-Wide Monitoring and Evaluation: A Good Practice Guide.
Contact person	Dr Sean Phillips, Director-General, DPME e-mail: sean@po-dpme.gov.za Tel: 012 312 0010

1 BACKGROUND AND CONTEXT

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

1.2 As the custodian of M&E in government, the Department of Performance Monitoring and Evaluation in the Presidency (DPME), partners with the Offices of the Premier (OTPs) in coordinating the functions of the state and driving government performance through M&E. In this regard, DPME has holds regular meetings with the Heads of M&E from the OTPs and also collaborates with them in implementing various M&E programmes across government.

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

1.4 Informed by various consultations and evidence, this guideline seeks to lay a basis for shared understanding of M&E functions across all Offices of the Premier in order to strength M&E in government and improve performance. The specific objectives of this document are to:

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

1.5 This guideline was shared with National Cabinet in September 2013 as per the G&A Cabinet Committee's request (Cabinet Memo 01A of 25 September 2013). Having been presented to Cabinet, this document has been updated accordingly after consulting with the Provincial M&E Forum on 26 February 2014 and DPME kindly requests the Offices of the Premier to implement accordingly.

2 OVERARCHING PRINCIPLES

2.1 This guideline is based on the Constitutional values and principles governing public administration such as:

- Professional ethics, transparency and accountability;
- Efficiency and effectiveness;
- Value for money and economic use of resources;
- Responsiveness to citizens and public participation;
- Development orientation and sustainability; and
- Continuous improvement in service delivery.

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

3 SCOPE OF THE GUIDELINE

3.1 The foregoing discussion sets the strategic context and high-level principles against which M&E in the OTPs should be understood. Further elaboration on the understanding of M&E in government in done in Annexure 1.

3.2 This guideline focuses on the province-wide performance M&E functions of the OTP. As such the internal aspects of departmental M&E in the OTPs as they relate to strategic plans and Annual Performance Plans are not necessarily addressed by this guideline (see DPME Guideline 3.1.6).

3.3 Further, the document provides guidance with regards to the relationship between the OTPs and the DPME with regards to the implementation of various national initiatives on performance M&E in order to ensure collaboration and alignment.

4 GENERIC FUNCTIONS OF M&E COMPONENTS IN THE OTPS

4.1 M&E of government priorities

4.1.1 OTPs are responsible for developing and implementing provincial priorities. They also provide strategic leadership in insuring M&E of such priorities in the provinces. It is critical that there is alignment between the priorities of the various spheres to ensure coordination and integration.

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

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

4.1.4 They should facilitate the reporting against the commitments made in the national Outcomes Delivery Agreements via the national Implementation Forums and the Programme of Action (POA) system by:

a) Ensuring that each provincial department which contributes to the outcome is aware of their precise commitments and has translated these into measurable indicators and targets and incorporated these into their departmental programmes.
b) Liaising with the planning units of all the contributing provincial departments to ensure that each department's commitments to relevant delivery agreements are translated into appropriate indicators and targets in their APPs, and where relevant, plans and shareholder agreements for public entities.

c) Analysing the information collected from the contributing departments and preparing a quality outcome progress report for the Provincial Executive Committee in consultation with the national outcome coordinating department.
d) Provincialising the targets in the delivery agreements.

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

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

4.2 Province-wide M&E coordination and support

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

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

4.2.3 It should also coordinate M&E capacity development initiatives such as the establishment of M&E learning networks/associations, training in relation to PALAMA or other accredited training providers like Higher Education Institutions and the private sector. OTPs should participate in the national forums run by DPME and provide necessary feedback to stakeholders.

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

4.3 Evaluations

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

4.3.1 Coordinate the development and implementation of a three-year provincial and annual evaluation plan in line with the National Evaluation Policy Framework (NEPF) and guidelines.

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

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

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

4.3.5 Ensure that improvement plans are developed based on evaluation results, that these are monitored and that the findings are incorporated in subsequent planning and budget processes.

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

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

4.4 Institutional assessment

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

4.4.2 Currently, DPME is implementing the Management Performance Tool which seeks to assess the efficiency of management practices in the public service in collaboration with the OTPs.

4.4.3 Therefore, the M&E unit in the OTP must coordinate the implementation of the MPAT in the province in line with the DPME guidelines and its own frameworks.

4.4.4 Currently DPME is strengthening the Heads of Department's (HoD) assessment system which would take into consideration the results of the institutional assessments.

4.5 Frontline service delivery (FSD) monitoring

4.5.1 The OTPs should monitor the quality of services experienced by people at the site level and ensure continuous improvement.

4.5.2 It should carry out front-line service delivery monitoring and ensure that line function departments continue to do their own monitoring visits continuously in line with the DPME guidelines and standards.

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

4.6 Public accountability and citizen-based Monitoring

4.6.1 Citizen input and feedback are essential to an effective delivery process because they provide a measure of the gap between perceived and actual experience of services provided, for both user and provider.

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

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

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

4.6.5 National Cabinet approved the CBM Framework in August 2013. Part B of the CBM Framework outlines various roles and responsibilities at different aspects of the government systems. With regards to the Offices of the Premier, the CBM Framework indicates that they should introduce CBM into their strategies and practices and support the uptake of CBM by provincial departments and local government.

4.6.6 DPME partners with the provinces via the Offices of the Premier and selected sector departments to pilot CBM in specific sites. The results of this pilot will inform future rollout of the CBM system.

5 RELATIONSHIP BETWEEN M&E AND RELATED FUNCTIONS

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

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

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

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

5.1.4 It must aim to ensure that the provincial priorities, the national outcomes, and the IDPs at local government are all aligned and integrated, and can be monitored and reported upon.

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

5.2 M&E and research

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

5.2.2 The M&E unit should work with the research component to create a knowledge repository to support knowledge sharing using provincial M&E forums, communities of practice, capacity development, and ensuring communication to different audiences. The use of IT tools like websites is critical in this regard.

5.3 M&E, Information Technology and Data systems governance

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

5.3.2 DPME is in the process of developing IT guidelines for M&E based on the findings of a survey that was conducted in 2011/12.

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

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

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

5.3.6 The metadata standards should be aligned to the Stats SA's SASQAF.

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

6 COLLABORATION WITH OTHER STAKEHOLDERS

6.1 National transversal departments and Chapter 9 Institutions

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

6.1.2 As a government institution, they must work very closely and also report to the transversal departments like The Presidency, NT, DPSA, DCOG and PSC. Areas of collaboration with DPME are discussed in various aspects of this document.

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

6.2 Provincial Treasury

6.2.1 OTPs should work collaboratively with the Provincial Treasuries in ensuring the implementation and use of the Framework for Managing Programme Performance Information. This will help to ensure that data and evidence in the reports are of good quality.

6.2.2 OTPs and the Provincial Treasuries should offer guidance to line departments in preparing audits and audits of predetermined objectives.

6.3 Other provincial departments

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

6.3.2 OTPs should ensure that assistance is given to skills development, improving the quality of indicators in the strategic plans and annual performance plans, maintenance of data integrity, and establishment of proper reporting frameworks, tools and templates.

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

6.4 Local Government

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

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

6.4.3 DPME partners with the provincial departments responsible for local government, Offices of the Premier and other key stakeholders in implementing the Local Government Management Improvement Model, whose results will provide an assessment of the quality of management practices and work place capabilities and inform the development of management improvement plans in participating municipalities.

7 M&E COMPETENCIES

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

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

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

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

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

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

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

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

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

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

Signed

Dr Sean Phillips

Director-General: Department of Performance Monitoring and Evaluation

Date: 31/03/14

ANNEXURE 1: UNDERSTANDING M&E IN GOVERNMENT

MONITORING

- Monitoring is a management function that should be undertaken by all managers. Monitoring involves continuous collecting, analysing, and reporting of data on inputs, activities, outputs, outcomes and impacts as well as external factors, in a way that supports effective management. Thus, it is important that all managers include monitoring as one of their key managerial functions in their performance agreements.
- When monitoring and reporting, managers should not be disengaged from the information in the reports, but they should apply evaluative thinking to assess and review progress made in line with the initial measurable objectives and associated indicators, and what that means in terms of corrective action needed.
- The Policy Framework on the Government-wide M&E System and associated National Treasury Framework on Managing Programme Performance Information provide some basic concepts and principles regarding monitoring and reporting in government.

EVALUATION

- Evaluation is defined as a periodic and systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance (effectiveness and efficiency) and value for money, and recommend ways forward. Evaluation is critical for generating in-depth evidence for improving performance and decision-making.
- The evaluation aspect of M&E is a highly specialised function that requires highly skilled human resources. Evaluation requires the use of sophisticated research methodologies, applying these to policies, plans, programmes, projects or organisations.
- The Management Performance Assessment Tool (MPAT) assessments for 2011/12 showed that only 13% of national and provincial departments periodically undertake evaluations of major programmes and use the findings to inform programme improvements. This evidence demonstrates the need to build evaluation capacity in government.
- In November 2011, Cabinet approved the National Evaluation Policy Framework (NEPF). The NEPF provides for the development of annual and three year national and provincial evaluation plans, minimum quality standards for evaluations, and the development of improvement plans to address evaluation findings. It states that evaluations in the National Evaluation Plan should be led by line function departments with technical support to be provided by DPME at the national level and OTPs providing a similar role with provincial evaluation plans.