



LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA








DEPARTMENT OF SOCIAL DEVELOPMENT MONITORING AND EVALUATION POLICY FRAMEWORK

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Limpopo Provincial Department of Social Development Monitoring & Evaluation Policy Framework

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LIST OF ACCRONYMS

AGSA	Auditor General South Africa
APP	Annual Performance Plan
AO	Accounting Officer
AoPO	Audits of Predetermined Objectives
CBIMS	Community Based Information Monitoring System
CBO	Community Based Organisation
CFO	Chief Financial Officer
CREAM	Clear, Relevant, Economic, Adequate, Monitorable
CPRS	Child Protection Registration System
DSD	Department of Social Development
EA	Executive Authority
ECD	Early Childhood Development
EPWP	Expanded Public Works Programme
EXCO	Executive Council
eQPRS	electronic Quarterly Performance Reporting System
DoRA	Division of Revenue Act
DEP	Departmental Evaluation Plan
DEWG	Departmental Evaluation Working Group
DPME	Department of Planning, Monitoring and Evaluation
DPMF	Departmental Participatory Monitoring Forum
GTAC	Government Technical Advisory Committee
GWM&E	Government-wide Monitoring and Evaluation
HoD	Head of Department
HSRC	Human Science Research Council
ICBS	Institutional Capacity Building and Support
ICT	Information Communication Technology
IDP	Integrated Development Plan
IQMS	Integrated Quality Management System
LDSD	Limpopo Department of Social Development
LDP	Limpopo Development Plan
MPAT	Management Performance Assessment Tool
M&E	Monitoring and Evaluation
MEC	Member of the Executive Council
MOV	Means of Verification
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NEP	National Evaluation Plan
NDA	National Development Agency
NGO	Non-Government Organisation
NISPIS	National Integrated Social Protection Information System
NPO	Non-Profit Organisation
OP	Operational Plan
OtP	Office of the Premier
PA	Performance Agreement
PEP	Provincial Evaluation Plan
PIAT	Performance Information Audit Team
PFMA	Public Finance Management Act of 1999
PMDS	Performance Management and Development System

PoA	Plan of Action
PoE	Portfolio of Evidence
PSC	Public Service Commission
SASSA	South African Social Security Agency
SEDA	Small Enterprise Development Agency
SDG	Sustainable Development Goals
SDIMS	Social Development Information Management System
SMART	Specific, Measurable, Achievable, Realistic, Time-bound
SONA	State of the Nation Address
SOPA	State of the Province Address
SPICED	Subjective, Participatory, Interpreted, Communicable Empowering, Disaggregated
SP	Strategic Plan
TID	Technical Indicator Description
ToR	Terms of Reference

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1. INTRODUCTION

This document outlines the Limpopo Provincial Department of Social Development's (LDSD) framework for the development and implementation of a monitoring and evaluation (M&E) system. Monitoring and evaluation is an important area of effective and efficient service delivery in the LDSD as it provides the potential for the departmental services to increase transparency and accountability. As a Government Department, there is a need for Social Development to demonstrate results and outcomes.

Results based management also involves monitoring and reporting on results through the development and provision of integrated financial and non-financial information. This information is used for both internal management purposes and for external accountability to Parliament, provincial legislatures and the public. Monitoring and reporting on this information provides managers and stakeholders the opportunity to reflect on what has worked and what has not.

A diverse range of monitoring and evaluating activities are undertaken by Government Departments to meet different needs. This framework seeks to improve, coordinate and integrate all this work into an easier to access and consistent data source.

The framework describes how monitoring and evaluation will function within the sector, its definition and purpose, work of the Department, legislative mandates, organizational structure, the approach to institutional performance and service delivery monitoring, data management as well as evaluation and description of its products and principles.

The overall goal of this policy is to...

- Establish common structures and standards to govern the application of effective monitoring and evaluation systems in the social development sector, thereby facilitating the attainment of maximum benefits from social development interventions.
- Establish and clarify roles and responsibilities between managers in the M&E unit

in the National DSD , Limpopo DSD and its Districts,

- Create and serve as a guiding document for M&E practise and implementation in the sector. To this effect, once approved, the policy will be binding as a guide to M&E practice in the entire sector.
- Explain the concept, role and use of monitoring and evaluation within the social development sector. It also defines the institutional framework and the roles and responsibilities.
- Place the practice of monitoring and evaluation within the broader social development context.
- The Policy underpins an integrated monitoring and evaluation system for the social development sector, which is decentralized in approach with Provincial Departments undertaking some monitoring and evaluation functions for their respective programmes.

2. WHO SHOULD USE THIS POLICY FRAMEWORK?

The policy should be used by all staff and managers delivering social development services in community-based and non-profit organisations. Since they provide the actual services and act as the main interface between the Department and the people it exists to serve, they have a keen interest in how it tracks progress and assesses results; As the delivery agents responsible for the practical provision of services, these very important stakeholders are not only partners and colleagues but are also "contracted agents" whose fiduciary responsibilities and M&E obligations need to be unmistakably clearly defined if they are to be able to meet them. This M&E policy Framework is intended for three groups of users:

2.1. *Internal and key stakeholders:*

These include:

- LDSD staff working in programmes particularly at the management and senior management levels;
- Social Development officials employed or contracted by the Department;
- Their district- and locally-based colleagues;
- Monitoring and Evaluation staff in the Department's M&E Unit.
- LDSD staff participating on the soon-to-be-established Department-wide M&E Coordinating Committee

2.2. *External stakeholders:*

These include:

- Public representatives such as Municipal Councillors and Members of the Provincial Legislatures (and in particular, the Parliamentary Portfolio Committee)
- Other Limpopo Provincial public service bodies such the Premier's Office, Provincial Treasury and the Social Cluster;
- Oversight and monitoring structures such as the PSC and the Auditor General
- Government and other researchers such as those housed in universities and independent institutions;
- and other development agencies, whose support to strengthen M&E and other management systems in the DSD should be consistent with and aligned to this framework.

The following list describes the main parties that have a direct interest in the information generated through M&E;

Provincial Level	Interdepartmental stakeholders	National Government Departments	National Government Agencies	National Research Institutions	Other strategic partners
<ul style="list-style-type: none"> Office of the Premier Provincial Treasury Legislature, including the Portfolio Committee on Social Development Stats SA Social Cluster 	<ul style="list-style-type: none"> South African social security Agency-SASSA National Development Agency-NDA Education Health Public works Safety & Security Local Government & Housing Sport, arts and Culture 	<ul style="list-style-type: none"> National Department of Social Development Department of Planning, Monitoring and evaluation Justice & Correctional services Department of Police National Treasury National Public Works 	<ul style="list-style-type: none"> National Lotteries Board South African Social Security Agency (SASSA) Small Enterprise Development Agency (SEDA) National Development Agency (NDA) 	<ul style="list-style-type: none"> Human Sciences Research Council (HSRC) Agricultural Research Council (ARC) 	<ul style="list-style-type: none"> PACT-SA – (Government, Capacity Building & Support) GTAC NPO Forums Traditional Councils Municipalities Civil Society organizations

3. PURPOSE AND AIM OF THE M&E POLICY FRAMEWORK

- The main purpose of M&E Policy Framework in the Limpopo Department of Social Development (LDSD), is to facilitate better service delivery in the province. This is achieved through providing useful, credible and reliable performance data and information needed to improve implementation , monitoring ,reporting, evaluation and review of the departmental pre-determined objectives such as the Strategic Plan, Annual performance Plan, Operational Plan, Programme implementation Plan, Budgets, Performance Agreements, Policies, Human Resources Plan, Service Delivery improvement Plan, ICT Plan , Risk Management Plan , Audit Remedial Action Plan and other relevant service delivery instruments.

3.1. The central aims of the M&E system at LDSD are to:

- Improve service delivery across all programmes by helping to promote best practices;
- Identify challenges and difficulties timeously;
- Provide empirical data to ensure that key decisions are made based on the best possible information; and
- Improve accountability and increase the level of transparency.

3.2. The M&E system will also assist the Department in fulfilling its mandate and these include:

3.2.1. Providing Information and records management services

The M&E system will, by its very operation, promote high standards of information flow and records management.

3.2.2. Providing effective and efficient communication services:

The Department's communications with stakeholders will be boosted by much

higher quality information on progress towards meeting objectives, outputs and outcomes.

3.2.3. Providing risk management services:

In helping to identify problematic areas of delivery and management (the M&E system can provide critical data for this objective).

4. THE VISION, MISSION & VALUES

4.1. *Vision*

A Caring and self-reliant Society

4.2. *Mission*

Provision of integrated, comprehensive and sustainable social development services

4.3. *Values*

- **Accountability:** Taking ownership for decisions and actions and accepting the consequences that come with them
- **Caring:** Showing sympathy and concern; embodying heart for all stakeholders and beneficiaries
- **Equality and equity:** Treating everyone fairly and equally
- **Human dignity:** Respecting everyone's human rights
- **Respect:** Showing due regard for the rights and obligations of others

5. MTSF PRIORITIES 2019-2024

The following are priorities for the MTSF;

- **Priority 1:** Capable, Ethical and Developmental State
- **Priority 2:** Economic Transformation and Job Creation
- **Priority 3:** Education, Skills and Health

- **Priority 4:** Consolidating the Social Wage through Reliable and Quality Basic Services
- **Priority 5:** Spatial Integration, Human Settlements and Local Government
- **Priority 6:** Social Cohesion and Safer Communities
- **Priority 7:** A better Africa and World

6. LEGISLATIVE, POLICY AND STRATEGIC CONTEXT

More broadly, this Department's legal, policy and strategic environment is defined and guided by the following legislation and policy frameworks:

6.1. The Public Finance Management Act (PFMA), 1 of 1999

Section 40(4) (c) of the PFMA reads as follows:

"Within 15 days of the end of each month submit to the relevant Treasury and the executive authority responsible for that department:

- the information for that month;
- a projection of expected expenditure and revenue collection for the remainder of the current financial year; and
- When necessary, an explanation of any material variances and a summary of the steps that are taken to ensure that the projected expenditure and revenue remain within budget".
- Regulations issued in terms of the PFMA place a heavy responsibility on government departments to report promptly, accurately, and in accordance with prescripts in relation to both financial and (non-financial) service delivery performance.

6.2. The Annual Division of Revenue Act (DoRA)

The Division of Revenue Act is changed annually. It outlines the oversight responsibilities for national transferring officers for various conditional grants, as well as the in-year and annual reporting responsibilities of receiving officers. In the Division of Revenue Act of 2010, section 12(2) (c) requires that a receiving officer of a Schedule 5, 6 or 8 allocation

to a province or a municipality submit a quarterly performance report within 30 days after the end of each quarter to the transferring national officer, the relevant provincial treasury and the National Treasury. In terms of section 12(7) a receiving officer must, within two months after the end of the financial year, and where relevant, the municipal financial year, evaluate its performance in respect of programmes or functions funded or partially funded by an allocation and submit such evaluation to the transferring national officer.

6.3. *Medium Term Strategic Framework (MTSF)*

The sixth (6th) democratic elections ushered in a new electoral mandate which defines the strategic objectives and targets of government for the period 2019–2024. This Medium Term Strategic Framework (MTSF, 2021 – 2024) is a statement of intent identifying the development challenges facing South Africa and outlining the medium-term strategy for improving the conditions and life of South Africans and for our enhanced contribution to the cause of building a better world. The MTSF base document is meant to guide planning and resource allocation across all spheres of government following which, national and provincial departments in particular, immediately develop their five-year strategic plans and budget requirements.

6.4. *State of the Nation Address, SONA*

6.5. *State of the province Address –SOPA*

6.6 MEC Budget Speech

6.6. *Framework for Managing Programme Performance Information (2009)*

This framework aims to:

- Clarify definitions and standards for performance information in support of regular audits of such information where appropriate;
- Improve integrated structures, systems and processes required to manage performance information;
- Define roles and responsibilities for managing performance information;

- Promote accountability and transparency by providing Parliament, provincial legislatures, municipal councils and the public with timely, accessible and accurate performance information.

6.7. *Guide for the Implementation of Provincial Quarterly Performance Reports*

This guide regulates the purposes, approaches and tools of Government Performance Monitoring and Evaluation and Management of Provincial Quarterly Performance Information.

It is to address issues such as: *“The extent to which programs are reaching intended target population, quality and efficiency of service delivery and customer satisfaction and level and pattern of resource utilization. It defines performance monitoring as: ‘an ongoing process based on collected information to measure and evaluate outcomes, outputs and activities in terms of actual performance against plans, current performance against past performance and performance against internal and external benchmarks’ while evaluation is defined as rigorous review aimed at determination of program relevance, the extent to which objectives are being reached, the full cost of meeting objectives, and exploring cost effective ways to meet objectives”.*

6.8. *Limpopo Monitoring and Evaluation Framework, 2010*

The purpose of the M&E Framework is to guide implementation of the M&E Plan which will monitor and evaluate both the Limpopo Development Plan (LDP) and the Sustainable Development Goals (SDGs). It provides detail on what information should be collected to monitor and evaluate the impact of provincial outcomes, programmes, projects and processes; by whom it will be collected; when and how the results will be reported; how corrective measures will be exercised; and how the results will impact future planning.

6.9. *The Government-Wide Monitoring and Evaluation System (GWM&E) Policy Framework*

The *GWM&E Policy Framework* of 2007 is the overarching policy framework for monitoring and evaluation in the South African Government. It sketches the policy context for supporting frameworks, such as National Treasury's *Framework for Managing Programme Performance Information* and Statistics South Africa's *South African Statistical Quality Assurance Framework*. This Policy Framework is applicable to all entities in the national, provincial and local spheres of government. Towards this end the National Government has identified National Outcomes while the Provincial Government has, through the Limpopo Employment, Growth and Development Plan, set output and outcome measures for each of the Departments within the Provincial Administration.

Within the context of this paradigm shift National Government has, through the Policy Framework for Government –Wide Monitoring and Evaluation System, initiated Delivery Agreements, which require a systematic and structured approach to implementation, measurement and realization of the outputs, outcomes and their impact. This framework strives to supplement these processes by providing a consistent, systematic guide to LDS contribution to National and Provincial Monitoring and Evaluation effort.

6.10. Limpopo Development Plan (LDP) 2020-2025

LDP Objectives	LDP Priorities	LDP Key Actions
Raise the effectiveness and efficiency of the a developmental public service	LDP Priority 1: Transform the public service for effective and efficient service delivery	Institutionalize and implement the District Development Model
		Implement "Operation Clean Audit"
		Implement the Anti-corruption Strategy of the Limpopo Province and the Integrity Management Unit
Improve quality of life of citizens	Priority 3: Provision of quality education and a quality health care system	Improve school readiness (ECD)
Promote vibrant and equitable sustainable rural communities		Improve education infrastructure (ECD)
Ensure Sustainable Development	Priority 5: Accelerate social change and improve quality of life of Limpopo's citizens	Implement Limpopo Youth Development Strategy
Create decent employment through inclusive growth and sustainable Livelihoods	Priority 7: Strengthen crime prevention and social cohesion	Increase roll-out of the Mass Participation Programme •
Prioritize social Protection and social investment		Implement the Limpopo Crime Prevention Strategy
		Implement Integrated Social Crime Prevention Strategy

6.11. National Evaluation Policy Framework, 2011

This policy framework provides the basis for a minimum system of evaluation across government. Its main purpose is to promote quality evaluations which can be used for learning to improve the effectiveness and impact of government, by reflecting on what is working and what is not working and revising interventions accordingly. It seeks to ensure that credible and objective evidence from evaluation is used in planning, budgeting, organisational improvement, policy review, as well as on-going programme and project management.

6.12. Guideline for the Planning of New Implementation programmes, 2013

The purpose of this guideline is to give practical guidance on minimum standards for designing implementation programmes and setting up the logical framework¹ and performance indicator matrix for M&E. Implementation programmes should have: a clearly defined theory of change which shows the core logic of the process assumed in the intervention, as well as the critical assumptions. A log-frame (impact, outcomes, outputs, activities, inputs, and their associated assumptions) as well as explanation of the causal mechanism of how these activities and outputs will results in the intended outcomes; a management unit within the department responsible for the delivery of that defined set of services and functions.

6.13. Evaluation Guideline, 2015

The role is to provide practical guidance towards developing and managing departmental/ organizational evaluation plans and systems. The purpose of a Departmental Evaluation Plan, is to provide details of evaluations approved by departmental EXCO/top management as priority evaluations to undertake over a three year period, which are linked with the MTEF budget.

6.14. Guideline for the Implementation of the Revised Framework for Strategic and Annual Performance Plans 2019

The purpose of the revised Framework for Strategic and Annual performance Plans is to provide the principles for short and medium term planning for government institutions, outline the alignment of various institutions to high level government long and medium term plans , as well as institutional processes for the different types of plans.

6.15. Annual Report Guidelines: Non-Financial Performance Information 2021

The purpose of the guide is to elaborate on the approach to follow in compilation of the Non-Financial Performance Information in the Annual Report aligned to the revised Framework for the Strategic and Annual Performance Plans

7. POLICY APPLICABILITY

This policy applies to all DSD Employees, Volunteers, interns NPOs, CBOs, Partners and other relevant stakeholders. This policy is developed to serve as a basis within which planning, monitoring and evaluation functions should be performed within the department to ensure internal business excellence.

8. UNDERLYING CONCEPTS AND KEY TERMS

8.1. Monitoring & Evaluation

8.1.1. Monitoring: Are we doing things right?

Monitoring is a continuing managerial function that aims to provide managers, decision makers and main stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results and the attainment of goals and objectives. Monitoring involves reporting on actual performance against what was planned or expected according to pre-determined standards.

Monitoring generally involves collecting and analysing data on implementation processes, strategies and results, and recommending corrective measures.

8.1.2. Evaluation: Are we doing the right things?

Evaluation is a time-bound and periodic exercise that systematically and objectively assesses the relevance, performance, challenges and successes of programmes and projects. Evaluation can also address outcomes or other development issues. Evaluation usually seeks to answer specific questions to guide decision-makers or programme managers and should advise whether underlying theories and assumptions were valid, what worked, what did not and why. Evaluation commonly aims to determine relevance, efficiency, effectiveness, impact and sustainability.

Evaluation is a vehicle for extracting cross-cutting lessons from operating unit experiences and determining the need for modifications to strategic results frameworks. Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process.

9. GLOSSARY OF KEY TERMS IN MONITORING AND EVALUATION

Glossary of Key Terms in Monitoring and Evaluation	
Accuracy	The extent to which a monitoring and evaluation process is truthful or valid in what it says about a program, project, or material
Activity	Describes initiatives/strategies adopted to achieve stated objectives by using inputs such as funds and skilled personnel. Activities result in the achievement of specific outputs. An activity is sometimes referred to as a development intervention.
Data	Material gathered during the course of an evaluation which serves as the basis for information, discussion, and inference. Data must be interpreted to derive meaning. It can be in the form of numbers, characters, symbols, images etc.
Development Objective	The desired outcome we hope the project will achieve, or how the world will change as a result of the project's output.
Dissemination	The communication of the actions--by written, oral, and/or audio-visual reporting--of evaluators to foster knowledge of the evaluation findings among all right-to-know audiences
Economy	Absence of waste for a given output. Note: An activity is economical when the costs of the scarce resources used approximate the minimum needed to achieve planned objectives
Effect	Intended or unintended change due directly or indirectly attributed to an intervention. Related terms: results , outcome

Glossary of Key Terms in Monitoring and Evaluation	
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance
Efficiency	An analysis of how well resources/inputs (financial, human, equipment, etc.) are utilized to achieve the stated objectives of an intervention (the optimal transformation of inputs into outputs)
Evaluation	Describes an objective analysis of current or completed projects/programmes to determine their relevance, effectiveness, efficiency, outcomes and sustainability. Evaluation information must be reliable and credible. Or a time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of on-going and completed programmes and projects. Evaluation Systematic investigation of the worth or merit of an object; e.g., a programme, project, or instructional material
Feedback	As a process, consists of the organization and packaging in appropriate form of relevant information from monitoring and evaluation activities, the dissemination of that information to target users, and, most important, the use of the information as a basis for decision-making and the promotion of learning in an organization. Feedback as a product refers to information that is generated through monitoring and evaluation and transmitted to parties for whom it is relevant and useful. It may include findings, conclusions, recommendations and lessons from experience.
Formative Evaluation	Evaluation intended to improve performance, most often conducted during the implementation phase of project, policy or programs.
Goal	Denotes a higher objective that an intervention aspires to achieve in the medium and long-term. A goal is less specific than an objective (See objective); Goals express general program intentions and help guide a programme's development. Each goal has a set of related, more specific objectives that if met, will collectively permit program staff to reach the stated goal.
Impact	Changes that can directly or indirectly be attributed to an intervention through cause and effect relationship. The changes can be intended or unintended results of a programme or (project that are assessed with reference to the development objectives or long-term goals of that programme or project; changes in a situation, whether planned or unplanned, positive or negative, that a programme or project helps to bring about.)
Indicator	A variable for measuring the achievement of objectives. It can be quantitative or qualitative and provides a reliable means for assessing the achievement of objectives. Indicators can be measured at each level: input, process, output, outcome and impact.
Information	Information consists of any data presented in a context so that it can be applied or used.
Input	Describes human, material, financial and other resources that facilitate the implementation of an intervention

Glossary of Key Terms in Monitoring and Evaluation	
Logical Framework	Is a tool that has the power to communicate the essential elements of a complex project clearly and succinctly throughout the project cycle. In essence, the <i>Logframe</i> is a "cause & effect" model of project interventions to create desired impacts for the beneficiaries
Mid-Term Evaluation	Evaluation performed toward the middle of the period of implementation of the intervention
Milestone	Target dates by which you hope to achieve your plans
Monitoring	A systematic collection of data on specific indicators in order to ascertain the achievement of objectives and appropriate use of financial resources or (a continuing function that aims primarily to provide programme or project management and the main stakeholders of an on-going programme or project with early indications of progress or lack thereof in the achievement of programme or project objectives)
Monitoring and Evaluation Plan	Is a comprehensive narrative document on all M&E activities. It addresses key M&E questions; what indicators to measure; sources, frequency and method of indicator data collection; baselines, targets and assumptions; how to analyze or interpret data; frequency and method for report development and distribution of the indicators, and how the 12 components of the M&E system will function (Rugg, Peersman and Carael, 2004)
Objective	Refers to short, medium and long-term changes desired for beneficiaries or their environment. Objectives tend to be more specific than goals and are required to be "SMART": i.e. <i>Specific</i> , to ensure appropriate interpretations; <i>Measurable</i> , to allow monitoring and evaluating of progress being made; <i>Appropriate</i> , to problems of the target beneficiaries or their environment; <i>Realistic</i> , achievable and relevant and <i>Time bound</i> , defined within a specific time frame
Outcome	The short and medium term effects of an intervention results of a programme or (project relative to its immediate objectives that are generated by the programme or project outputs)
Output	Products, capital goods and services that result from an intervention or (tangible products (including services) of a programme or project that are necessary to achieve its objectives)
Performance	Describes achievements of results in relation to stated goals/objectives, using specific criteria/indicators or the extent to which a programme or project is implemented in an effective, efficient and timely manner
Performance Auditing	An independent audit of the management measures instituted to ensure the economical procurement and efficient and effective of resources.
Performance Information	Indicates how well an institution is meeting its aims and objectives, and which policies and processes are working.
Processes	The multiple activities, both planning and implementation, carried out to achieve the programme's objectives.
Process Evaluation	An evaluation of the internal dynamics of implementing organizations, their policy instruments, their service delivery mechanisms, their management practices, and the linkages among these.
Programme	A time-bound intervention that differs from a project in that it usually cuts across sectors, themes and/or geographic areas, involves more institutions than a project, and may be supported by different funding sources
Project	Is a time-bound intervention that consists of a set of planned, interrelated activities aimed at achieving defined objectives.

Glossary of Key Terms in Monitoring and Evaluation	
Recommendations	Suggestions aimed at improving the effectiveness, quality, and efficiency of an intervention. Sometimes such proposals could result in redesigning of objectives and/or reallocation of resources or (proposal for action to be taken in a specific circumstance, including the parties responsible for that action)
Relevance	Deals with the degree to which the objectives of a programme or project remain valid and pertinent as originally planned or as subsequently modified owing to changing circumstances within the immediate context and external environment of that programme or project.
Results	Describes the output, outcome or impacts (intended or unintended, positive or negative) of a development intervention or (a broad term used to refer to the effects of a programme or project. The terms "outputs", "outcomes" and "impact" describe more precisely the different types of results)
Results Based Management	A management strategy focusing on performance and achievement of outputs, outcomes and impacts.
Stakeholder	Person or organisation other than the client who has stakes in the intervention
Summative Evaluation	A study conducted at the end of an intervention (or a phase of that intervention) to determine the extent to which anticipated outcome were produced. Is also intended to provide information about the worth of the program.
Target	A quantifiable amount of change that is to be achieved over a specified time frame in an indicator
Terms of Reference	Written document presenting the purpose and scope of the evaluation, the methods to be used, the standard against which performance is to be assessed or analyzed are to be conducted, the resources and time allocated, and reporting requirements.
Thematic Evaluation	Evaluation of a selection of development interventions, all of which address a specific development priority that cuts across countries, regions , and sectors
Theory of Change	A representation of how an intervention is expected to lead to desired results/ Blueprint of the building blocks needed to achieve the long-term goals of a social change initiative
Validation/ Verification	Process of checking whether the reported progress is accurate or not. Methods include among others; assessing reported information against administration records, spot-checks, client surveys etc.

10. UNIFORM SECTOR DEFINITIONS M&E CONCEPTS

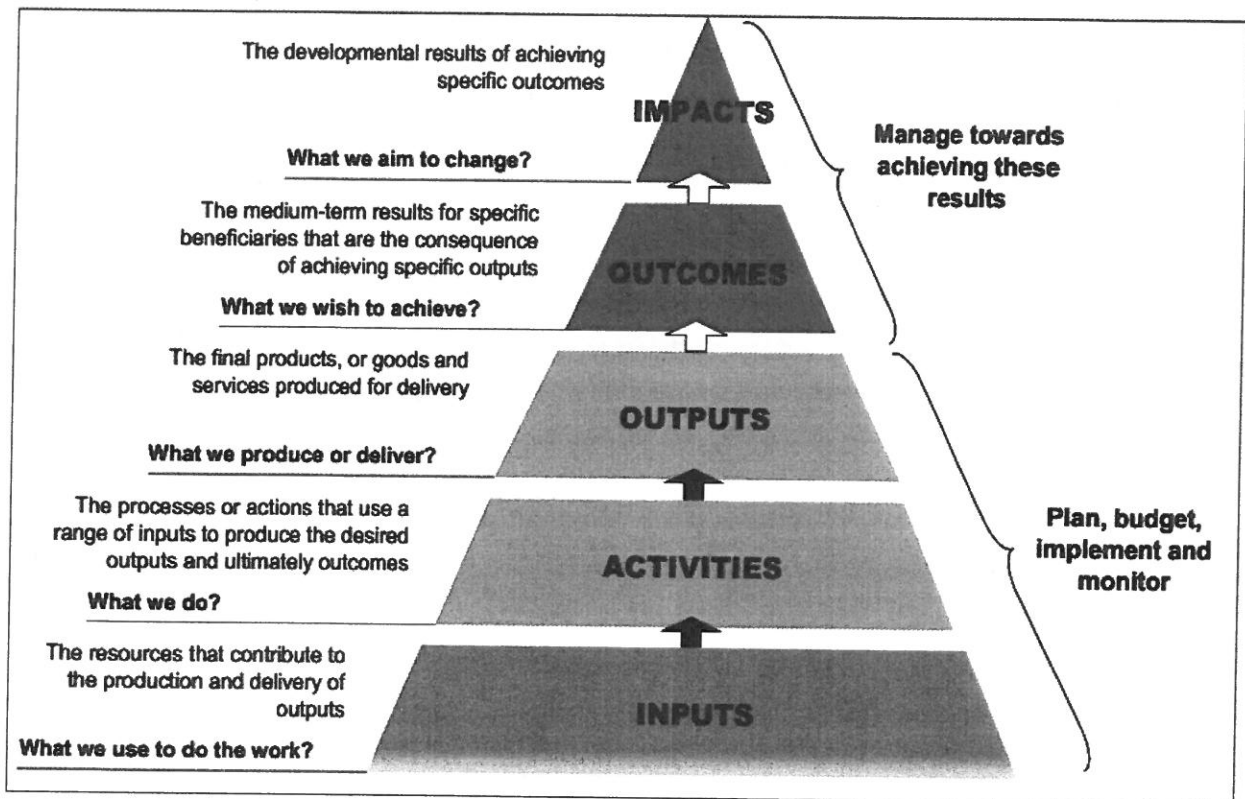
Performance information needs to be structured to demonstrate clearly how the department uses available resources to deliver on its mandate.

The Logical Framework (Log frame) matrix

Project Objectives	Indicators	Means of Verification	Assumptions
Impact Simple clear statement of the impact or results that the project should achieve	Impact Indicator Quantitative or qualitative means to measure achievement or to reflect the changes connected to stated goal	Measurement method, data source, and frequency of data collection for stated indicator	External factors necessary to sustain the long-term impact, but beyond the project's control
Outcomes Set of beneficiary and population-level changes needed to achieve the goal (usually knowledge, attitudes and practices, or KAP)	Outcome Indicator Quantitative or qualitative means to measure achievement or to reflect the changes connected to stated outcomes	Measurement method, data source, and frequency of data collection for stated indicator	External conditions necessary if the outcomes are to contribute to achieving the goal
Outputs Products or services needed to achieve the outcomes	Output Indicator Quantitative or qualitative means to measure completion of stated outputs (measures the immediate product of an activity)	Measurement method, data source, and frequency of data collection for stated indicator	Factors out of the project's control that could restrict or prevent the outputs from achieving the outcomes
Activities Regular efforts needed to produce the outputs	Process Indicator Quantitative or qualitative means to measure completion of stated activities	Measurement method, data source, and frequency of data collection for stated indicator	Factors out of the project's control that could restrict or prevent the activities from achieving the outcomes

Project Objectives	Indicators	Means of Verification	Assumptions
Inputs Resources used to implement activities (financial, materials, human)	Input Quantitative or qualitative means to measure utilization of stated inputs (resources used for activities) Indicator	Measurement method, data source, and frequency of data collection for stated indicator	Factors out of the project's control that could restrict or prevent access to the inputs

Logical Model framework: figure below illustrates the relationship between these core performance information concepts.



A logic model is an analytical method to break down a programme into logical components to facilitate its evaluation. A logic model helps to answer questions like “Have the objectives of the programme been achieved?” and “Were the means to achieve those objectives appropriate and were they competently implemented?” Since efficiency can be

defined as the ratio between inputs and outputs and effectiveness as the relationship between outputs and outcomes, logic models help to evaluate the efficiency and effectiveness of a programme.

Logic models are used very widely as frameworks to design monitoring systems or structure evaluations (National Treasury, 2007). The research study will be framed by the Theory of Change Approach and Logical framework which was first published by Weiss in early 1990s. A theory of change approach will assist in mapping out a plan to allow the programme. In addition, to identify indicators that can be used to measure outcomes and track progress of programmes in a credible and useful way (Connell & Kubisch, 1998).

11. CURRENT AND PLANNED INFORMATION SYSTEMS

11.1. National Integrated Social protection Information System (NISPIS)

NISIS is a national system but is used widely in the social development sector in Limpopo. It is used by practitioners developing profiles and dealing with communities. The Department should investigate its use as an M&E tool.

11.2. Child Protection Registration System (CPRS)

This system is used extensively by the Department and its M&E potential should be investigated.

11.3. Electronic Quarterly Performance Reporting System-(EQPRS) 2021

11.4. Limpopo Provincial monitoring and evaluation system 2018

11.5. Community Based Intervention Monitoring System (CBIMS)

12. INDICATOR DEFINITION PROTOCOL

12.1. Identification of indicators

Indicators may be derived from a number of sources: national legislation and policy, provincial legislation and policy, treasury regulations etc. In selecting and reviewing indicator sets, the minimum number of indicators will be used consistent with effective M&E. This acknowledges that each indicator identified entails both a cost and an informational benefit to the Department. Furthermore, the process of indicator identification will be consultative, involving as many of the stakeholders who are involved in reporting on the indicator and who will be using the resultant information as is practically possible.

Identification and update of indicator sets will take into consideration the following factors:

- Statutory requirements;
- Validation through recognition in the research literature;
- Responsiveness to changes over time and among different populations;
- Availability – ideally on an annual basis from official statistics sources;
- The need to cover all areas of the results chain - inputs, outputs, outcomes and impacts - through an appropriate mix in the hierarchy of indicators.

12.2. Indicators description

A good performance indicator should be:

- **Reliable**: the indicator should be accurate enough for its intended use and respond to changes in the level of performance.
- **Well-defined**: the indicator needs to have a clear, unambiguous definition so that data will be collected consistently, and be easy to understand and use.
- **Verifiable**: it must be possible to validate the processes and systems and data that provide information on the indicator.
- **Cost-effective**: the usefulness of the indicator must justify the cost of collecting the data.

- **Appropriate:** the indicator must avoid unintended consequences and encourage service delivery improvements, and not give managers incentives to carry out activities simply to meet a particular target.
- **Relevant:** the indicator must relate logically and directly to an aspect of the institution's mandate, and the realisation of strategic goals and objectives.

ANALYTICAL TOOLS	PRINCIPLES	DESCRIPTION
SMART	Specific	Clearly articulated, well defined and focused
Used as an indicator development principle	Measurable	Determine the degree of completion or attainment and comparable
	Attainment	The target should be achievable
	Relevant	Detect changes or progress on the initial situation
	Time Bound	Attached to timeframe
SPICED	Subjective	key informants (beneficiaries/stakeholders) have a special position or experience that gives them unique insights which may yield high return time-wise
Focus more on how indicators should be <i>used</i> rather than how they should be developed	Participatory	Indicators should be developed together with those best placed to assess them, ie. with the project's ultimate beneficiaries, local staff and other stakeholders
	Interpreted & Communicable	locally defined indicators may not mean much to others, which means they need to be explained or interpreted to different stakeholders
	Cross-Checked & Compared	the validity of indicators needs to be cross-checked by comparing different indicators and progress, and by using different stakeholders and methods to ensure validity
	Empowering	the process of developing and accessing indicators should be empowering in itself and should allow stakeholders to reflect critically on their changing situation
	Diverse & Disaggregated	There should be a deliberate effort to seek out different indicators from a range of groups and across gender. The data needs to be recorded in a way that these differences can be assessed over time.
CREAM	Clear	indicators should be precise
used to select good performance indicators	Relevant	appropriate to the subject and evaluation
	ECONOMIC	can be obtained at a reasonable cost

	ADEQUATE	the ability to provide sufficient information on performance
	MONITORABLE	Easily monitored, and amenable to independent validation.

Metadata relating to indicators

- For **validation and auditing purposes**, it is important to have comprehensive metadata (i.e. data about the data). The metadata for each of the indicators reported in the Department's multi-year plan and Annual Performance Plans should contain:
- **A detailed technical indicator description:** The indicator title, a short definition of the indicator, the purpose/importance of the indicator, the source of data collection of data, methods of calculation, data limitations, the type of indicator (input, activity, output, outcome, impact), calculation type (cumulative or non-cumulative), reporting cycle (monthly, quarterly, annually etc.), whether desired performance is higher or lower than target and whether the indicator is new, has been altered in comparison with the previous year, or is identical with that reported in the previous year.
- **Performance management information relating to that indicator:** The person responsible for providing the data, for collecting and collating the data, and for verifying and for reporting the data relating to the indicator.

13. PREPARING FOR AUDITS OF PRE-DETERMINED OBJECTIVES

In terms of sections 20(2) (c) and 28(l) (c) of the Public Audit Act of 2004, the Auditor General is required to audit the performance information reported by departments against predetermined objectives. The aim of an audit of predetermined objectives is to enable the auditor to conclude whether the reported performance against pre-determined objectives is reliable, accurate and complete, in all material respects, based on predetermined criteria. These criteria include:

- All relevant laws and regulations
- The Framework for the Management of Programme Performance Information

issued by the National Treasury;

- All frameworks, circulars and guidance issued by the National Treasury and the Presidency regarding the planning, management, monitoring and reporting of performance information.
- The performance information should be submitted for auditing together with the annual financial statements within two months after the end of the financial year.

○ *The procedures for audits of performance information typically include:*

- Obtaining an understanding of the internal controls relating to performance information;
- Obtaining an understanding of the relevant systems to collect, monitor and report performance information. This would normally include: reviewing the various interlinked processes that inform the reported performance information in the annual report (i.e. the strategic and annual planning, the budget and in-year monitoring processes), reviewing the system descriptions for the relevant systems and verification by means of walk-through tests, and ensuring that the system, as described, is being adequately monitored by management (through review, comparison, independent checks, etc.) in order to ensure that the process/procedure is being carried out as planned;
- Evaluating the existence, consistency (e.g. as recorded in the strategic plan, budget, quarterly reports and annual report.), format and quality of performance information;
- Comparing reported performance information to relevant source documentation and conducting limited substantive procedures to ensure valid, accurate and complete performance reporting.

13.1. Role of Monitoring and Evaluation Unit IN preparing for audits of pre-determined objectives

This M&E Policy Framework, and its accompanying detailed M&E plans at programme

level, supports the Audit of Predetermined Objectives process by documenting the approved M&E systems and procedures for the LDSD at institutional, programme and project levels.

Whereas accounting standards form the basis for a financial performance audit, this Policy Framework shall be the basis for the LDSD to prepare for an audit of non-financial performance information.

Each Programme of the Department will, as per in year and annual reporting cycles, be responsible for submission of non-financial performance reports and means of verification for portfolio of evidence to the Monitoring & Evaluation (M&E) Unit based on the National and Provincial Treasury Framework for Management of Non- Financial Performance Information . The submissions from programmes within the LDSD must be signed off by the relevant head of programmes.

The M&E Unit shall, upon receipt of the submissions from the Programmes, consolidate them into a Departmental Performance Report and conduct an analysis based on the processes outlined in this policy framework. The M&E Unit shall, in addition to the Monitoring and Evaluation Framework-prescribed approaches to Departmental Performance analysis, perform data quality assurance exercises on performance reports. They will focus on the following variables: 'Compliance with reporting requirements, usefulness and reliability concentrating on meeting the following audit-criteria: existence timeliness, presentation, measurability, relevance, consistency, validity, accuracy and completeness.

14. DEPARTMENTAL PERFORMANCE INFORMATION AUDIT STRATEGY

14.1. Audit strategy-5 Cs: "Never keep the Auditor waiting"

- **Capacity-** only assigned people with insight and commitment
- **Coordination-** encourage structured approach at all levels
- **Communication-** share useful information on timeously

- **Compliance** – Submit information on time or explain the reasons for delay
- **Consequences-** appropriate action must be taken against those who fail to observe this strategy

14.2. Objectives of performance information audit strategy

- To institutionalise the culture of audit of Pre-determined objectives
- To coordinate pre-audit of performance information
- To create a communication platform for audit related matters
- To ensure compliance with the issued request of information by internal audit , Audit Committee and AGSA
- To facilitate Capacity building sessions on audit of performance information
- To monitor the development and implementation of the audit remedial action on performance information
- To provide the necessary technical support on audit of Pre-determined objectives
- To inculcate the culture and the spirit of quality data and information assurance, ownership, responsibility and accountability to institutionalise collective, integrated and coordinated approach in performance information management

15. DEPARTMENTAL PERFORMANCE INFORMATION AUDIT TEAM –(PIAT)

- The Teams will be established at Provincial and District Levels
- It will be convened by M&E Unit
- It will comprise of representative of all Programmes at Provincial and District appointed by Chief Directors and District Directors respectively
- The Teams will meet at least quarterly and regularly during the Audit or review period by Internal Audit and AGSA.
- Performance information Audit Teams (PIAT) Members will individually report to their respective Chief Directors and District Directors but collectively report to the Accounting officer
- The Team will have powers to summon any Departmental official and/or funded organisations to submit any performance data or information requested for audit purposes by either Internal Auditors or AGSA
- The Team will have powers to make appropriate Consequences

Management Recommendations to the Chief Directors and District Directors on officials that fail to submit information on time without valid reasons

- The Teams must prepare logistics and participate in the entry and exit audit meetings
- The Team members may serve for unlimited period of time for consistency, continuity and institutional memory
- The Team Members will be expected to attend scheduled and unscheduled meetings without fail
- The meetings of the PiAT must be action oriented, punctual, simple, and straight forward focussed at all times.
- Meeting Agenda, attendance Registers, Minutes and Reports of the PiAT must be properly kept by M&E Unit.
- Standing items for the PiAT meetings will be considered at an inaugural meetings
- The PiAT will develop and or customise templates or formats for Pre Audit on Performance information
- The PiAT will conduct and or coordinate capacity building workshops on Performance information Management
- The PiAT will advise the Department on any matter pertaining to Management of performance information
- Priority must be given to the audit activities above any other prior or planned commitments and or activities.

16. DATA VALIDATION AND QUALITY ASSURANCE

“Data reported at the end of each quarter must be data that is valid at the time of reporting. There is no preliminary data for the 2020/21 financial year moving forward”

- The portfolio of evidence or means of verification must be validated and quality assured prior consolidating the quarterly and the annual reports

- The quality assurance Teams must be constituted to provide technical and contextual assurance before portfolio of evidence (PoE) and Means of verification (MoVs) are submitted for sign off by the Accounting Officer
- The affected number of reported indicators, outputs, and portfolio of evidence or means of verification must be within the acceptable and tolerable fifteen percent (15%) erroneous reporting
- There will be zero tolerance on recurrence or repeat findings and or deliberate under or overstatement on performance reporting as well as non-compliance with documented internal control systems
- Material findings with negative impact on the audit outcome as the result of failure to effectively implement the audit action shall be viewed in a serious light
- Consequence management will be instituted in terms of the Departmental Consequence management framework.

17. THE FRAMEWORK FOR STRATEGIC PLANS AND ANNUAL PERFORMANCE PLANS

- Quarterly performance report provides the executive authority, the National Treasury and provincial Treasuries with information on performance against plans.
- It also provides the accounting officer with an Opportunity to indicate measures that will be taken to ensure that implementation of the Annual Performance Plan remains on track.

18. GUIDELINE FOR THE IMPLEMENTATION OF PROVINCIAL QUARTERLY PERFORMANCE REPORTS

- Standardised and province specific indicators must be populated in the quarterly performance reporting model.
- Preliminary outputs must be populated at the ***end of each quarter***.
- The actual output validated column for ***the first three quarters*** must be

- *populated three months* after the preliminary output was submitted
- The fourth quarter actual –validated data will be submitted together with the pre-audited output as per report at the end of May
- ***Current practise by the department***, upon the submission of the validated reports.
- The submission of preliminary reports is always accompanied by the previous validated reports.
- ***Validation processes***, after quarterly Reporting, Departmental M&E unit convenes District validation Roadshows attended by both Provincial Programme managers, District programme coordinators, Supervisors primary Data Collectors and Data Capturers.
- ***Focused areas***: Policy, Planning, Performance Reporting, Analysis, Validation, Monitoring and evaluation.

19. NON-GOVERNMENT ORGANISATIONS

More than any other Department in the Limpopo Provincial Government, the Department of Social Development relies on partnerships Non-Government Organisations (NGOs) (also referred to as “Non-Profit Organisations” or “NGOs”) to deliver its core services.

Most social development services are delivered by NGOs, the character and nature of which vary widely, from sophisticated long-standing charities with extensive networks and sophisticated resource mobilisation systems to fledgling, poverty-level initiatives with few resources and minimal capacity. Regardless of their circumstances, most NGOs rely heavily on the finance provided by Social Development and therefore need to be responsive to requests and instructions from it for the maintenance of records and the submission of information.

However, the reality is that many NGO service providers in Limpopo function at a very low level administratively, with extremely limited office and communications infrastructure and human resources. This poses particular challenges for Monitoring & Evaluation.

Nonetheless, programme managers are required assess all requesting / receiving Departmental funding, to ensure that they meet statutory governance criteria and appear to have the capacity to deliver the services required.

Each programme is responsible for drafting and signing a Memorandum of Agreement with all NGOs that includes:

- the service delivery outputs contracted for
- the norms and standards to be complied with
- Specifications for the NGOs to monitor and report regularly on service delivery outputs against the targets and conditions set in their Transfer Payment Agreements.

Once it has the sufficient capacity, the M&E Unit will monitor and report on the quality of the Agreements and the NGOs' compliance with the reporting requirements. The M&E Unit will also perform independent monitoring of NGOs in order to assess the efficiency and effectiveness of the NGO's service delivery and to enable appropriate management action to be taken.

The schedule and frequency of this is determined in consultation with Programme and Regional management, and in line with the organisational risks and priorities which include:

- Value of services delivered
- Familiarity and experience of LDSD with the services being delivered
- Size and maturity of the service provider, and their familiarity and experience with the services being delivered
- Achievement of service delivery targets
- Compliance with self-monitoring and reporting
- Results of previous monitoring engagements.

A monitoring cycle for NGOs will be need to be developed to provide for more frequent monitoring of high-risk services, medium frequency monitoring of medium-risk services and less frequent monitoring of low-risk services.

The monitoring reviews will include compliance with governance and service delivery norms and standards as well as verifying the service delivery reports and non-financial data submitted.

The monitoring reports, which include performance analysis and recommendations for

development of improvement plans, are addressed to the institutions, Programmes, Districts, NPOs and CBOs.

NPOs are currently required to use paper-based data collection tools to gather information on service delivery using indicators formulated by national and provincial provided to them by the district offices of the LDSD. (The data collection tool for this should be closely aligned with the SDIMS).

To the extent their capacity allows, NPO service providers should also:

- Monitor and evaluate themselves and their performance; and
- Report and use their own M&E findings to improve service delivery.

20. THE MONITORING AND EVALUATION UNIT AT LDSD

In its Monitoring and Evaluation Framework, the National Department of Social Development Mandates that Provincial Departments should establish fully-fledged M&E Units with adequate capacity at all levels. The National Framework sets out the following basic functions which Provincial M&E Units will be required to undertake.

These are:

- Participating in the strengthening of the integrated monitoring and evaluation system
- Provide technical Support and build internal capacity on the implementation of M&E Policy Framework, M&E Plan and Departmental evaluation Planning processes.
- Provide strategic support on the development and setting of realistic , measurable, achievable and monitorable targets;
- Monitoring Performance based on the predetermined objectives (Strategic Plan, Annual performance Plan, operational Plan, Budget, HR Plan, Infrastructure Plan, ICT Plan, Service delivery improvement plan and Risk management plan).

- Collecting and collating data from institutions, Programmes, Districts, NPOs and CBOs.
- Verifying and assessing the quality of performance data
- Analyse performance data
- Validating Performance information
- Dissemination of Performance information
- Coordinate development of the improvement Plans
- Monitor implementation of the improvement Plans
- Manage development and implementation of Departmental evaluation Plans
- Coordinate dissemination of evaluation reports for improvement strategy, decision making, future planning and budgeting

20.1. Status Quo of M&E Unit at LDSD

The Director of the M&E Unit reports to the Chief Director Corporate services and also work closely with the Office of the Accounting Officer and Executive Authority. The M&E Unit is not operational and is under-staffed. As of March 2018, the M&E Unit was as follows:

- **Director** :Strategy, Policy , Monitoring and Evaluation
- **Deputy Director** : Planning and policy
- **Assistant Director:** Monitoring & Evaluation

There are two vacant posts for **Assistant Director Policy** and **Deputy Director Evaluation** and there are no dedicated M&E personnel in Districts. The department has appointed monitoring and evaluation team members at provincial and District levels to assist in coordinating monitoring and evaluation functions as an additional responsibility to their key performance areas. In terms of information and reporting, a paper-based system is still in use from the sub-district level to Province, an Electronic Quarterly Performance Reporting system-EQPRS) is for submission of Performance Reports to DPME through Office of the Premier

The office of the Premier has developed monitoring and evaluation system, which will be fully functional in 2018/19 Financial Year. The Department must develop its own performance information management system which will link with all primary sources of data (NPOs, CBOs,), institutions, Sub-districts, Districts and Provincial.

21. ROLES AND RESPONSIBILITIES

The roles and responsibility of DSD employees in relation to monitoring, evaluation and reporting rest with staff at differing levels and locations throughout the Department. These include, but are not limited to; the MEC of Social Development; Head of Department; Chief Financial Officer; Chief Directors; District Directors; Provincial directors; Programme Managers at all levels; Social Workers; Community Development Practitioners; Support Staff; Data capturers & interns.

20.1. Member of Executive Council (MEC)

The MEC for Social development will monitor and evaluate the effectiveness and efficiency with which LDSD utilizes public resources in its activities to reach its objectives and fulfil its mandate. The MEC will utilise M&E findings to provide political oversight and direction for the department as a whole to ensure that the desired outcomes and impact are achieved. The MEC is accountable to the provincial EXCO and to the provincial legislature and should provide these institutions with full and regular reports concerning matters under their control. Finally, the MEC should also oversee the Department's M&E system to ensure that it is functioning optimally and it complies with the Government-wide Monitoring and Evaluation Policy Framework, the Limpopo Monitoring & Evaluation Framework and other related standards and guidelines

20.2. Head of Department (HOD) have the following responsibilities:

The Head of Department as Accounting Officer has responsibility to ensure that the Department fulfils its reporting requirements specifically in relation to Monitoring &

Evaluation, this include roles such as;

- Approval of captured Annual Performance Plan and quarterly performance reports.
- Sign off on final data / performance information and attachment of approval certificate.
- The system will be **closed** a day after the submission date and under no circumstances will late information be accepted.
- Therefore, late submission of information will result in it not being reflected in the national progress report for that particular quarter
- The Accounting Officers of the relevant departments must sign-off on the performance information before it is published. This will ensure that the published data is verified and accurate.
- The verification of data is pivotal in the publication of performance information.
- Offices of the Premier must ensure that the captured data is accurate and that targets are as reflected in the tabled Annual Performance Plans of each provincial department before the data is published on the website of the Office of the Premier.
- The performance information submitted to DPME as final must be the same information published by the Offices of the Premier
- Submit Quarterly and Annual reports to oversight bodies
- Ensure that department maintains appropriate performance information systems;
- Ensure that there is senior management buy-in to M&E functions
- Ensure that prompt action is taken in response to M&E findings;
- Ensure that departmental resources are allocated to implement M&E functions
- Ensure Publication of M&E information in website and other platforms
- Ensure that appropriate capacity exists for monitoring and evaluation function;

20.3. Chief Financial Officer (CFO)

The CFO is responsible for:

- Ensuring that departmental Financial information is made available within the required timeframes;
- Ensuring that financial information is on par and correctly relates to/with the performance information as reported by Programmes;
- Ensuring financial support information is provided in good time for reporting properly by Programmes
- Ensuring departmental compliance with Auditor General (AG) requirements for financial submissions.

20.4. Director: Strategy, Policy, Monitoring and Evaluation.

- Facilitate the development of the Departmental Strategic and Annual Performance Plans.
- Ensure the development of Operational Plans.
- Facilitate the compilation and development of Annual Reports.
- Monitor quarterly performance of Chief Directorates and report to the HOD.
- Coordination of departmental performance reviews meetings.
- Ensure participation of pertinent role players to planning in realizing the objective of corporative governance.
- Ensure alignment of the strategic plans to other provincial policies. (EPWP etc.)
- Provide capacity building to Staff on the Audit Criteria, Monitoring and Evaluation Framework and the Planning framework.
- Coordinate validation and quality assurance of performance information

20.4. Chief Directors

- Have the responsibility to acquaint themselves with this policy.
- Ensure implementation and compliance with this Policy.

- Ensures that programmes/sub-programmes ,institutions and funded organisations provide verified , validated and quality assured reports in line with the provided reporting framework , templates and tools.
- Ensure that the consolidated and analysed performance reports and portfolio of evidence are submitted on time to M&E Unit.

20.5. District Directors

- Have the responsibility to acquaint themselves with this policy.
- Ensure implementation of this Policy.
- Ensures that programmes/sub-programmes , institutions and funded organisations provide verified , validated and quality assured reports in line with the provided reporting framework , templates and tools.
- Ensure that the consolidated and analysed performance reports and portfolio of evidence are submitted on time to Provincial programmes and M&E Unit.

20.6. ***Provincial Directors and or Programme Managers***

Provincial and district managers / coordinators shall monitor and support the implementation of the Programmes, verify and validate the performance information

20.7. ***Primary Data Collectors***

The implementers of the programmes/sub programmes shall be the primary raw data collectors, this shall include but not limited to social workers, Community development practitioners, support staff, Volunteers, interns and/or any other person providing the services on behalf of the Department of social development. This is the most critical level of the generation of data which determines the extend of the data reliability and usefulness and supervision must be strengthened at level.

20.8. ***Data Capturers***

Primary and or secondary data collected, collated and submitted will be captured using

the prescribed, standardised systems and templates. Duplicates and incomplete data must be eliminated at this stage.

20.9. *Quality Assurers*

The Chief Directors and District directors must ensure quality assurance on the consolidated performance reports and Means of verification prior signing off and submission to monitoring and evaluation. Conduct their respective performance analysis, monitor and provide progress made in the implementation of the improvement plans.

15. DATA MANAGEMENT AND QUALITY





Data collection	A range of primary data will be collected from Social Workers, NPOs, Institutions, Local and District Offices and also in some instances from National programmes. Data collection from Social Workers, NPOs and Institutions will take place on paper data collection tools.
Data collation	The individual data collection sheets will be summarised and checked at local office level and submitted to District Offices on a quarterly basis. The Service Point Manager will certify the report as a true reflection of Service Point or Institution performance.
Data capture	District Offices will summarise the local data sheets and enter the data for the District into the Performance Information Monitoring System.
Data verification	Data will be verified and certified by District Managers and send off to Provincial Office. The Provincial Managers will verify and certify the reports and POE's and submits to Monitoring and Evaluation Office.
Data processing	The monitoring system will aggregate the District level data to a Provincial level.

Data usage	<p>Different reports from District and Provincial level will be drawn from the monitoring system. Strategic Planning, Monitoring and Evaluation Directorate will verify the reports against the Portfolio of Evidence and certify the reports as a true reflection and generate Departmental reports. M&E Unit will consolidate all relevant quarterly and ad hoc reports for signing off by the Head of Department to relevant entities. Dissemination of performance information will take place through the following forums:</p> <ul style="list-style-type: none"> • Strategic Planning meetings • Provincial workshops • Social Cluster meetings • MANCO policy meetings • EXCO meetings • Heads Of Social Development meetings • Departmental Newsletters • Departmental website
Data storage	Data/POEs and reports will be stored at the Monitoring and Evaluation Office.

21. DATA SUBMISSION & QUALITY REVIEWS

Monitoring and evaluation unit will conduct data verification, validation, quality assurance, analysis, and certification and submit to accounting officer a Provincial consolidated performance reports aligned to the portfolio of evidence. Poor quality data must be referred back to the relevant chief directors and District Directors for adjustment, alignment and consolidation and re-sign off within prescribed timelines.

21.4. Data Flow Map & Chart

LEVEL: 4	PROVINCE	By Whom	By When
	<i>Data Consolidation, Quality Assurance, Analysis, Presentation And Submission To The Accounting Officer For Sign Off</i>	Provincial Programme Managers Chief Directors/ CFO M&E unit Head of the Department	Quarterly and Annually
LEVEL: 3	DISTRICT	by Whom	By When
	<i>Data Consolidation, Analysis, Validation And Submission To The Provincial Office</i>	District Programme Managers M&E Team Member District Executive Directors	Monthly, Quarterly and Annually
LEVEL: 2	SUB-DISTRICT	By Whom	By When
	<i>Data Verification, Collation And Submission To The District</i>	Supervisors for all Programmes	Bi-weekly Monthly, Quarterly and Annually
LEVEL: 1	SERVICE POINT <i>(Community/household/individuals/ NPO/CBO)</i>	By Whom	By When
	<i>Collection Of Raw Data , Capturing, Safe Keeping And Submission To The Sub District</i>	Social Workers, community development Practitioners, support staff, interns and volunteer	Daily Weekly Monthly, Quarterly and Annually

21.5. Timelines for the Performance Review

Timelines for the performance review, approval and submission of the performance reports aligned to the annual performance plan

Types of Performance Reports	Performance Review sessions	Submission of Validated Report	Receiving oversight Bodies	Proof of Submission
First (1 st) Quarter Report- April - June	10 TH July	12 September 15 September	OTP/DPME Legislature	Signed off Submission letter by the HOD supported by screen shots with comment by EQPRS OTP / DPME & NDSD
Second (2 nd) Quarter Report- July-September	4 TH October	12 December 15 December	OTP/DPME Legislature	
Third (3 rd) Quarter Report- October-December	8 ^h January	12 March 15 March	OTP/DPME Legislature	
Fourth (4 th) January- March	4 th April	31 May	OTP/DPME	
Annual April - March	4 th May	31 May (Pre-audited) 15 August (Audited)	OTP/DPME/PT, AGSA & Legislature	Submission letter signed by the AO/EA and received by Legislature Representative, signed & Dated.

21.6. Timelines for the Performance Reports

Timelines for the performance reports aligned to the MTSF Priorities (Clusters PoAs), SONA - SOPA

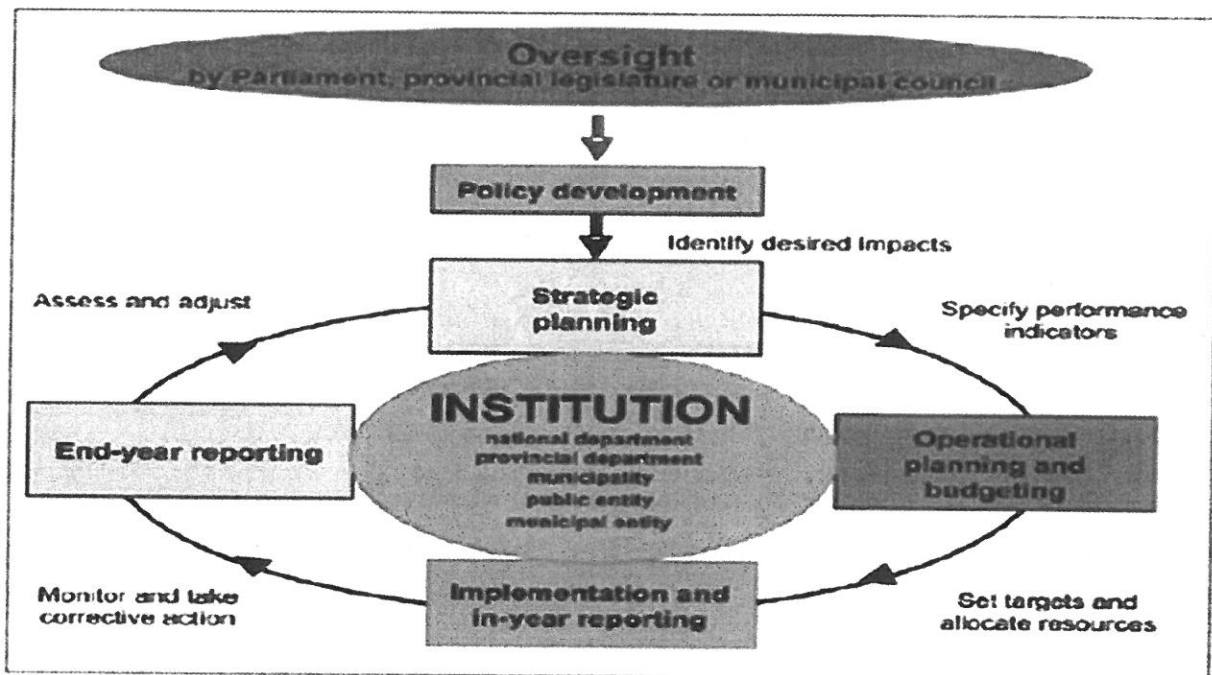
Types of Performance Reports	Submission of the Reports	Receiving oversight Bodies	Proof of Submission
MTSF Priorities	15 July- Quarter 1	NDSD	Signed off Submission lett
Priority 6: Social Cohesion and Safer Communities	15 October – Quarter 2	Community Safety	
Priority 2: Economic Transformation and Job Creation	15 January- Quarter 3	Public works	
Priority 3: Education, Skills and Health	15 April – Quarter 4	Agriculture & rural Development	
Priority 4: Consolidate the Social Wage through Reliable Quality Services	31 May – Annual –pre-audited		
LDP		OTP	
SONA-SOPA		OTP	
MEC BUDGET SPEECH		EA	
ACCOUNTING OFFICER'S –		Audit Committee	

22. PROTOCOL FOR APPROVAL AND SIGNING OF PERFORMANCE REPORTS

The approval and signing of performance report will be guided by following documents and guidelines;

- **Framework for Managing Programme Performance Information, 2007**

The accounting officer or head official of the institution from which the information was obtained should sign off on the information. Monitoring and Evaluation is also regulated for all organs of state by the:



- **The Framework for Strategic Plans and Annual Performance Plans, 2010**

Quarterly performance report provides the executive authority, the National Treasury and provincial Treasuries with information on performance against plans. It also provides the accounting officer with an Opportunity to indicate measures that will be taken to ensure that implementation of the Annual Performance Plan remains on track. Quarterly reports must be prepared within 30 days after the end of each quarter.

- **Guideline for the implementation of Provincial Quarterly Performance Reports, 2016**

Standardised and province specific indicators must be populated in the quarterly performance reporting model. Preliminary outputs must be populated at the end of each quarter. The actual output validated column for the first three quarters must be populated three months after the preliminary output was submitted. The fourth quarter actual –validated data will be submitted together with the pre-audited output as per report at the end of May

- **Guideline for the implementation of Provincial Quarterly Performance Reports, 2017**

The provincial departments must assign and provide key officials responsible for quarterly performance reporting access to the Electronic Quarterly Reporting System (eQPRS). These officials include: Data Capturer, Departmental Coordinator, the Head of Department, Quarterly performance reporting can be viewed as an enabling mechanism that allows Accounting Officers or HODs to track progress against what has been planned and what is actually achieved in the form of service delivery outputs.

23. DEPARTMENTAL PARTICIPATORY MONITORING FRAMEWORK (DPMF)

- **Monitoring** is a continuing managerial function that aims to provide managers, decision makers and main stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results and the attainment of goals and objectives. Monitoring involves collection of data. Reporting on actual performance against what was planned or expected in accordance with pre-determined objectives.
- **Monitoring Purpose:** “To proactively provide the necessary support and corrective measures for a well-coordinated and effective Departmental Monitoring for improved performance and compliance with the Pre-Determined objectives
- **Primary Monitoring** is conducted by the *immediate beneficiaries and or internal role players affected directly* by the predetermined objectives

- **Secondary Monitoring** is conducted by the *custodian* of the predetermined objectives
- **Tertiary Monitoring** is conducted by the *oversight bodies* responsible for the predetermined objectives
- **Participatory Monitoring** is coordinated and conducted by joint or some or all internal *and external role players* responsible for the predetermined objectives
- **Monitoring Ethics** must embrace the values of *Confidentiality, Privacy, Professionalism, Punctuality, Sensitivity, Communication, Feedback and Accountability*
- **Monitoring controls** must include the following measures, *Identification (Name Tag/ ID), Record in the Visitor`s Register Book and or inform any relevant structure or official within the employ of the department.*

24. MONITORING POLICY PRINCIPLES

- **Pro-activity-** Monitoring should be an embedded activity not an isolated or reactive activity.
- **Resilience-** Monitoring should inculcate a culture of self-empowering within the primary beneficiaries and role players
- **Objectivity-** Monitoring must not be used as a justification tool for achieving personal vendetta against any person.
- **Corrective-** Monitoring should not be punitive but educational or empowering in nature
- **Improvement-** Monitoring should always produce positive results and not perpetuate poor performance
- **Responsibility-** All role players and beneficiaries must take individual and collective responsibility to minimize or avoid recurrence of the identified discrepancies and findings.

- **Accountability-** All role players and beneficiaries must be individually and collectively answerable to the broader stakeholders and governance structures for their actions and inactions

25. MONITORING PLAN PRIORITIES

- Access to services of vulnerable individuals e.g. Children, older and persons with Disabilities
- Services intending to reduce poverty and unemployment e.g. Food Security and Job creation initiatives
- Services funded through conditional grants e.g. EPWP incentive and ECD conditional grants
- Functionality of completed Sites or facilities with under construction e.g. Seshego Treatment Centre , Saselamani Office Accommodation
- Funded NPOs and Cooperatives in high risk for the misappropriation of funds
- Chronic under Performing programmes or indicators
- Programmes or indicators Negatively affected by the audit outcomes
- Programmes or indicators under the spotlight by the oversight bodies and the media.

26. MONITORING STRATEGY

- Structured Monitoring in loco
- Scheduled Performance Reporting
- Unannounced monitoring visits
- Scheduled Support engagements (*participatory Monitoring*)
- Telephonic Conversations
- Sampled /targeted Monitoring

27. MONITORING SYSTEMS

- Paper based (manual)
- Pictures
- Videos
- Reports
- Web-based Decentralized monitoring systems

28. MONITORING TOOL (TEMPLATES)

- All Programmes must develop tools/templates aligned to monitoring framework

29. MONITORING FREQUENCY

- Depending on the level of Monitoring, the frequency must allow sufficient time to implement the remedial actions and avoid *unnecessary Stampede Monitoring*

30. MONITORING REPORT

- Every monitoring activity must be supported by a written report compiled using the prescribed format

31. DEPARTMENTAL PARTICIPATORY MONITORING FORUMS

- Provincial, District and Sub -District Monitoring Forums will be established.
- The Forum will comprise by all programmes responsible for EPWP, Infrastructure, institutions ,NGO funding, Youth ,Women , Sustainable Livelihood, ICBS, NDA, SASSA NPOs, CBOs , other relevant stakeholders
- It will meet Quarterly and annually to discuss Monitoring reports and come up with improvement strategies
- Provincial ,District and Sub- district Monitoring forums will be convened by M&E Unit where it exist and dedicated persons where it does not exist
- The provincial Monitoring Forum must develop customized Monitoring and reporting tools and templates
- The findings of both internal and external auditors must be taken into account while monitoring the funded NPOs.

- Strategic challenges raised by other oversight bodies such Portfolio Committee, Audit committee et al must be given a serious attention while monitoring

32. EVALUATION IN THE SOCIAL DEVELOPMENT SECTOR

32.1. What is Evaluation?

Evaluation is an objective analysis that is a time-bound and periodic exercise that systematically and objectively assesses the relevance, impact, effectiveness, efficiency and sustainability of programmes and projects. An evaluation should provide information on performance, challenges and successes of programmes and projects. Evaluation can also address outcomes or other development issues. Evaluation usually seeks to answer specific questions to guide decision-makers or programme managers and should advise whether underlying theories and assumptions were valid, what worked, what did not and why.

32.2. Uses of Evaluation

Evaluation feeds into management and decision making processes regarding policy development and implementation strategies of programmes. It contributes to institutional learning and evidence-based policy making, accountability and organizational effectiveness. It aims at improving the institutional relevance and the achievement of results, optimizing the use of resources, providing client satisfaction and maximizing the impact of the intervention provided.

32.3. Types of evaluations

Evaluations are approached from a multi-level and integrated perspective that involves evaluating the effect of more than one programme, for example looking at the impact of departmental programmes on poverty. It also undertakes;

- Ad hoc evaluations;
- Diagnostic evaluations,
- Process evaluations,
- Programme or outcome evaluations

- Rapid assessments and
- Impact evaluations, although due to the cost and complexity of undertaking such studies, a limited number are done.

Impact evaluations are undertaken on a partnership basis and make extensive use of externally provided technical assistance. Due to the cost associated with impact evaluations, external resource mobilisation is an important element of the Department's evaluation strategy.

Process, ad hoc and other evaluations are either undertaken by M&E staff or are outsourced to independent service providers. These studies are often less rigorous and are more qualitative in nature. Use is often made of a sample-based approach rather than trying to evaluate results for the whole country. Project turn-around is quicker and the focus is on developing actionable recommendations.

Purposes of evaluation include understanding why and the extent to which intended and unintended results are achieved and their impact on stakeholders. Evaluations are an important source of evidence of the achievement of results and institutional performance and contribute to knowledge and organizational learning. Evaluation should serve as an agent of change and play a critical role in supporting accountability. Evaluation can be used to improve programme design and performance, to make a judgement on the effectiveness of a programme and to generate knowledge of good practices.

Programme Evaluation: The M&E unit has the responsibility to develop a multi-year evaluation plan for a period of three years in collaboration with Provincial Departments and other stakeholders such as the DPME. The three- year plan will be reviewed annually and will be informed by the availability of financial resources.

- The Departmental Evaluation working Group DEWG will provide advisory and technical support to Provincial programme managers and provincial Departments.
- Large scale evaluations will be commissioned and conducted by independent evaluators not associated with the programme implementers.

- These evaluations should be undertaken and managed by national and provincial programme managers.
- Provincial Departments of Social Development are responsible to participate in and support the implementation of the annual evaluation plan.
- Provincial Departments should also develop an internal evaluation plan and conduct internal programme implementation evaluations on an annual basis.

32.4. Evaluation Procedures

The selection of evaluations for the Multi-Year Evaluation Plan focuses on the following:

- A list of comprehensive evaluations to be undertaken over a period of three years; It will be a phased implementation plan taking cognizance of human resource constraints in the sector as a whole and giving priority to interventions as described in the Minister's priorities.
- The multi-year plan will be prepared by the National CD M&E and submitted initially to the HSDS for consideration and subsequently to the Minister for approval.
- It will be reviewed on an annual basis by the National CD M&E in collaboration with the Provincial Social Development Departments and adjusted as needs arise.

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- The multi-year plan will be prepared by the National CD M&E and submitted initially to the HSDS for consideration and subsequently to the Minister for approval.

- It will be reviewed on an annual basis by the National CD M&E in collaboration with the Provincial Social Development Departments and adjusted as needs arise.

The type of evaluation conducted will be determined by the key evaluation questions asked of the programme/ project. The evaluation conducted should adhere to the Evaluation Standards outlined in the framework. Evaluations should be conducted in a systematic manner outlined in the Departmental Evaluation Plan (DEP). The Department will submit the final evaluation reports to National DSD M&E Chief Directorate who will then submit the reports to DPME for Quality Assurance and be placed on the DPME Evaluation Repository.

All social development programmes should conduct evaluations every three years to determine implementation progress. These evaluations are intended to identify programme design problems and are essentially an internal activity undertaken for programme management. These evaluations will be coordinated by the National CD M&E in collaboration with National and Provincial Programme Managers. These evaluations should be reviewed by an independent evaluator not associated with the implementation of the programme.

The M&E will conduct outcome and impact evaluations as and when required of a programme. These will be carried out by independent evaluation teams according to approved Terms of Reference. These independent evaluations of the overall performance of programmes assess results and impacts of social development programmes and the progress it made towards achieving the objectives of the programme.

24. ROLES AND RESPONSIBILITIES FOR THE DEPARTMENTAL EVALUATION WORKING GROUP (DEWG)

- The evaluation will be managed by an Evaluation Technical Working Group and an Evaluation Steering Committee.
- To coordinate development of Departmental Evaluation Plan (DEP)
- To ensure compliance with the Departmental Evaluation Plan (DEP)
- To monitor implementation of the Departmental Evaluation Plan (DEP)
- To approve in principle the Terms and references (TORs) and the reports for Evaluation Projects
- To oversee the overall work of the Evaluation Steering Committees
- To present to the Executive management, the Draft evaluation Report, Management Responses and Improvement plan
- To provide oversight on the implementation and review of the evaluation Report.

25. CAPACITATION AND CHANGE MANAGEMENT

The Limpopo Department of Social Development will endeavour to build the necessary level of capacity, both in the M&E Unit, and Department-wide, to ensure that monitoring and evaluation function is fully operationalized and working at an optimal level. The Department will also develop, acquire and retain capacity requirements as contemplated in section 8.4 of the Limpopo Provincial Government Monitoring and Evaluation Framework.

National Treasury's 2007 *Framework for Management of Programme Performance Information* emphasizes the need for Departments to establish processes to ensure that performance information is used in planning, budgeting and management processes in the department. This would include; (a) the setting of ex ante performance standards and targets; (b) reviewing progress and taking managerial action and (3) evaluation of programme performance. It also suggests processes to ensure that performance information as management responsibility is included in the performance agreements of

line managers.

M&E at LDSO must be enforced through senior management meetings, through action plans, and through planned follow-up on findings. Enforcement will be increasingly necessary to accommodate the for AG process.

26. MEASURES TO BE TAKEN DURING SHORT AND MEDIUM TERMS

In the short to medium terms the following measures will be taken at the LDSO:

- A department-wide M&E Coordinating Committee, whose membership will staff at the senior manager level, will be developed as soon as possible to coordinate the enhancement of the M&E system as outlined in this document;
- Key stakeholders from across to sit on an M&E coordination committee and prioritize such persons for capacity building;
- A champion for M&E in each Division should be identified;
- Communicate the framework across the Department via a series of workshops;
- Brief written material on the role of M&E will be produced;
- Ensure that M&E functions are reflected in the operational plan
- Recruit the necessary staff for the M&E Unit so that it has a full staff contingent and may properly fulfil its mandate; These should primarily include persons with generic M&E skills, but also those with appropriate expertise in the social development sector;
- Ensure that the M&E Unit is capacitated with the necessary technical and physical resources to enable it to function optimally (e.g. ample office space, computers, phone lines, etc.).
- There are other possible interventions to build M&E capacity in the short-, medium- and long-term which the Department will consider implementing. These include:
- Training of existing staff; this includes both line management and M&E

specialists. Training modalities can include external formal qualifications from higher education institutions as well as in-house customized courses.

- On-the-job training and mentoring.
- Structured skills transfer from academics, consultants and other external providers.
- Creation of internal M&E forums and participation in external learning networks.

M&E is by its very nature multi-disciplinary. To ensure that M&E adheres to the principle of methodological soundness, data and information management skills are important. To ensure that M&E is participative, inclusive and development oriented also makes communication and people skills essential. Crucial competences include data collection skills, statistical analysis, economic impact and econometric analysis, understanding of sector policies and implementation modalities, facilitation skills for participative M&E, data quality assurance, impact of poverty, gender and other dynamics.

M&E capacity building within the organisation will take on a formal and informal approach, providing both generic and specialist M&E training. A Capacity Building Plan will specify the need according to the roles and responsibilities of the line managers and importantly, the budget availability.

It is envisaged that informal M&E training will take place during Strategic Planning Sessions where strategic documents are reviewed, or alternatively on a one-on-one basis where the M&E practitioner assists a project or programme manager to develop appropriate indicators and measurement tools. Review sessions at provincial, district and municipal level provide yet another opportunity for meaningful interaction on M&E concepts.

27. REVIEW AND CONTINUOUS IMPROVEMENT OF THE M&E FRAMEWORK

The M&E Unit, once its capacity and staff contingent has been expanded, will need to ensure that departmental officials are well versed with the contents of the M&E Policy Framework. To bolster the aim of widespread understanding of M&E functions within the Department, the M&E Framework will be rolled out at provincial and district level. It is envisaged that managers apply the Framework to their own areas of operation as M&E is the responsibility of each and every manager.

The LDSD will make use of any opportunity presented at the social cluster, and any other appropriate forums or resources, to help update and improve the M&E Framework. To this end the M&E Unit will maintain a close working relationship with the Office of the Premier. Once the M&E plan is developed based on the Cluster Programme of Action, the M&E Unit will include the internal M&E plan, so an integrated M&E plan will be produced. The integrated M&E Plan will be attached to this M&E framework.

28. DEVIATIONS

Non-compliance with this policy framework by any employee of the LDSD will lead to misconduct and the necessary disciplinary measures taken against such an employee.

29. POLICY COMMUNICATION

Website, roadshows, and workshops

30. INCEPTION / COMMENCEMENT DATE

The commencement date of this Policy will be with effect from the date signed by the Executive Authority.

31. POLICY REVIEW

The M&E Policy Framework may be reviewed after three (3) years. This policy will remain in force until and unless it has been withdrawn and or amended accordingly.

