



LIMPOPO

PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

**DEPARTMENT OF
ECONOMIC DEVELOPMENT, ENVIRONMENT & TOURISM**

PERFORMANCE MONITORING AND EVALUATION FRAMEWORK

2021

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ACRONYMS

APP	Annual Performance Plan
DDG	Deputy Director General
DMC	Departmental Management Committee
DWPM&ES	Department - wide Performance Monitoring and Evaluation Systems
DPME	Department of Planning, Monitoring and Evaluation
E-QPR	Electronic - Quarterly Performance Report
HOD	Head of the Department
GWMES	Government-wide Monitoring and Evaluation Systems
LDP	Limpopo Development Plan
LEDET	Limpopo Department of Economic Development, Environment & Tourism
M&E	Monitoring and Evaluation
MPAT	Monitoring of Performance Assessment Tool
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
MoV	Means of Verification
NDP	National Development Plan
PFMA	Public Finance Management Act of 1999
PI	Performance Information
PM&E	Performance Monitoring and Evaluation
PWM&ES	Provincial - wide Performance Monitoring and Evaluation Systems
SDGs	Sustainable Development Goals
SOEs	State Owned Entities

2. DEFINITIONS

'activities' are processes or actions that use a range of inputs to produce the desired outputs and ultimately outcomes. In essence, activities describe "what we do".

'auditing of performance information' is an annual and/ or quarterly audit of reported actual performance against predetermined objectives. This is an integral part of the annual regularity audit, confirming the credibility, reliability and usefulness of the reported performance information on the quarterly and annual reports of government entities;

'appropriate indicator' means the indicator which avoids unintended consequences and encourages service delivery improvements, and does not give managers incentives to carry out activities simply to meet a particular target;

'baseline' refers to a description of the status quo, usually statistically stated and provides a point of comparison for future performance. A baseline is a snapshot of where we are at the start of a programme or project. In some instances, the baseline is the level of performance recorded in the year prior to the planning period;

'cost-effective indicator' refers to the indicator which justifies the cost of collecting the data;

'employee' means any male or female person appointed within the Department of Economic Development, Environment and Tourism in terms of the Public Service Act 103 of 1994, as amended;

'evaluation' refers to a time-bound exercise that systematically analyses and assesses performance against the agreed objectives for the purpose of review. It aims at determining the relevance, efficiency, effectiveness, impact and sustainability of an intervention;

'impacts' refer to the results of achieving specific outcomes, such as reducing poverty and creating jobs. Suitable indicators need to be specified to measure performance in relation to inputs, activities, outputs, outcomes and impacts.

'indicator' an indicator is a variable that is used to assess the achievement of results in relation to the stated goals or objectives;

'inputs' refer to all the resources that contribute to the production and delivery of outputs. Inputs are "what we use to do the work". They include finances, personnel, equipment and buildings;

'means of verification' refers to the location of the source or evidence used as proof for the project achievement. The means of verification is a performance information control to ensure that the reported performance is the same as initially planned (i.e. no under or over - reporting) and that there is evidence to support the level of performance being reported;

'monitoring' refers to an ongoing collection, processing and analysis of data on implementation processes, strategies and results for the purpose of evaluation according to agreed-upon strategic objectives, outcomes and measurable indicators to use the findings to recommend corrective measures and to give guidance in decision-making processes;

'monitoring and evaluation sessions' refers to the quarterly sessions organised and coordinated by the PM&E sub-directorate unit to assess the Department's performance in a given quarter against the original plan. The sessions are also used to validate and verify the reported performance information against the plans;

'monitoring plan' is the actual plan that is used to measure performance, including the relevant indicators. This plan should include detailed information pertaining to targets to be achieved, standards for results obtained, indicators that may be used to measure performance and their associated technical descriptions;

'monitoring system' refers to a set of procedural arrangements for the data collection, collation, and analysis and reporting. Within the system, collected data is compared to an explicit standard and/or a target, which may be formal.

'outcomes' refer to the medium-term results for specific beneficiaries that are the consequence of achieving specific outputs. Outcomes should relate clearly to an institution's strategic goals and objectives set out in its plans. Outcomes are "what we wish to achieve;"

'performance Indicator' is a pre-determined signal that a specific point in a process has been reached. The nature of the signal will depend on what is being tracked and needs to be carefully chosen;

'performance information' (Non-financial information) refers to information that is collected by the Department in the course of fulfilling its mandates and implementing government policies, programmes and projects. Performance information would include indicators, baselines and targets on service delivery outputs, outcomes and resource inputs (such as personnel and infrastructure etc.)

'performance target' refers to the desired level of performance that the Department aims to achieve through a programme, project or activity within a particular time period. It is measured by reference to a performance indicator and should adhere to the SMART principle (specific, measurable, achievable, realistic and time-bound). In accordance with the DPME Revised Framework for Strategic Plans and APPs, performance targets may be planned annually or quarterly. The sum of quarterly targets generally adds up to annual targets to permit quarterly monitoring;

'relevant indicator' refers to the indicator which relates logically and directly to an aspect of the Department's mandate and the realisation of strategic goals and objectives of the Department;

'verifiable' refers to the possibility to validate the processes and systems that produce the indicator;

'verification' means validation of all evidence documents submitted from branches vis-a-versa the reported information in alignment with the Annual Performance Plan (APP);

'review' refers to a formal assessment of existing strategies and programmes based on the tracking of progress within the implementation plans and feedback obtained from the action plans;

'reliable indicator' refers to the indicator which is accurate enough for its intended use and respond to changes in the level of performance;

'well-defined indicator' refers to the indicator which has a clear, unambiguous definition which will ensure that data is collected consistently, and be easy to understand and use; and

'reporting' refers to an integral part of monitoring and evaluation. It is the systematic and timely provision of essential information at periodic intervals.

3. INTRODUCTION

This Performance Monitoring and Evaluation Framework provides the parameters and processes that will be followed to fully institutionalize PM&E within LEDET. The framework further comprehensively addresses the approach followed by the Department to manage performance information in general. LEDET is mandated to develop and institutionalise PM&E as well as the management of performance information. It is thus imperative to define and clearly map out the manner in which these functions shall be executed.

Within the Limpopo Provincial Government, PM&E is the responsibility of each Department, as departments have to provide feedback and early indicators of progress or lack thereof in the achievement of intended results and the attainment of goals and objectives. PM&E within LEDET is aimed at tracking progress of the performance of programmes or projects described in the strategic planning documents such as Strategic Plan and Annual Performance Plan, which are aligned to the strategic priority areas and

outcomes of government, including the National Development Plan (NDP), Vision 2030, Sustainable Development Goals (SDG), and other policy documents of government.

4. BACKGROUND

The Office of the Presidency has published a Policy Framework for the Government-Wide Monitoring and Evaluation System (2007) in order to guide government institutions, including public entities in establishing and maintaining effective monitoring and evaluation policies and procedures. The policy framework went further, through the Department of Planning, Monitoring and Evaluation (DPME) to publish National Guidelines on Evaluation.

This framework describes the normative management system, to which the public sector is moving, and the constituent components and principles which will guide its operations. It requires that monitoring and evaluation be implemented at all levels of government in order to ensure that government meets its intended outcomes and impact as set out in National Development Plan (NDP), Medium Term Strategic Framework (MTSF) and Sustainable Development Goals (SDGs). This requirement is augmented by the National Treasury's Framework for Managing Programme Performance Information (2007) and the Revised Framework for Strategic Plan and Annual Performance Plans (2019) developed by the Department of Planning, Monitoring and Evaluation in the Office of the Presidency, resulting from the Green Paper on Improving Government Performance (2009).

LEDET PM&E Framework is guided by the above-mentioned framework which explains the developmental approach for institutionalising PM&E in the Department. The framework describes the generic components and the relationships that will guide the development of a Department-Wide Performance Monitoring and Evaluation System.

The establishment of Planning, Monitoring and Evaluation Ministry at national level indicates the level of commitment by government to institutionalise monitoring and evaluation functions across all spheres of Government. LEDET's PM&E framework outlines the roles and responsibilities of all relevant stakeholders regarding M&E function

within the Department. The Policy Framework for Government Wider Monitoring and Evaluation (GWM&E) identifies programme performance information as a data sub-set in the M&E framework. This M&E Framework focuses on the management of performance information as a subset of M&E and devolves management of performance information to appropriate structures and entities

5. PURPOSE AND OBJECTIVES

5.1 Purpose

The purpose of the PM&E Framework is to improve performance, ensure accountability and transparency by providing managers, decision makers and other stakeholders with regular feedback on the following aspects:

5.1.1 Outcomes of the assessed performance of programs and projects set up by the Department.

5.1.2 Progress on the implementation of government programmes and projects.

5.1.3. Results and targets achieved by assessing actual performance against what was planned or expected.

5.1.4 Early detector of problems that need to be corrected.

5.2 Objectives

The main objectives of the Framework are to:

5.2.1 Improve management of performance information in general.

5.2.2 Improve service delivery across all programmes by promoting PM&E principles.

5.2.3 Identify challenges and provide for corrective measures timeously.

5.2.4 Provide empirical data to ensure that key decisions are made based on the best possible information.

5.2.5 Improve accountability and transparency in planning and reporting.

6. AUTHORITY

This policy is issued under the authority of the Executive Authority or delegated employee.

7. SCOPE AND APPLICATION

This Framework is applicable to all male and female employees of the Department. It also extends to clients and stakeholders of the Department in accordance with the Batho Pele principles.

8. PRINCIPLES OF THE PM&E FRAMEWORK

The LEDET PM&E framework is underpinned by the values and principles enshrined in the Constitution (1996), Chapter 10 which makes provision for transparency and accountability to all stakeholders through timeous provision of information which is easily accessible and accounted for.

The framework is underpinned by the following principles:

8.1 Application of performance management systems in an ethical and integral manner to evaluate and enhance effectiveness and efficiency of services.

8.2 Formulation of sound indicators which outline clear and comprehensive performance monitoring and evaluation.

8.3 Nationally, organisationally and locally development-oriented PM&E which leads to

improved governance

8.4 Public access of progress reports to ensure transparency in the utilisation of government resources.

8.5 Operationally effective PM&E which reflects its purpose, level of risk and available resources for a sustained timeous delivery of excellence.

8.6 PM&E should be rights based, a rights based culture should be promoted and entrenched by its inclusion in the value base for all monitoring and evaluation processes.

8.7 PM&E should be utilisation oriented in order to meet knowledge and strategic needs.

8.8 PM&E should be methodologically sound through utilisation of common indicators and data collection methods to improve data quality and allow trend analysis in order to build credible findings.

9. LEGAL MANDATES

This PM&E Framework is guided by the following prescripts:

9.1 The Constitution of the Republic of South Africa, 1996, as amended.

9.2 Public Service Regulations, 2016.

9.3 National Development Plan: Version, 2030.

9.4 Limpopo Development Plan, 2015.

9.5 The Medium Term Strategic Framework, 2019-2024.

9.6 Public Finance Management Act, 1999.

9.7 Government-Wide Monitoring and Evaluation: A Good Practice Guide, 2008.

9.8 Performance Information Handbook for the Developmental Practitioners: the ten steps to a result based M&E system authored by Kusek and Rist, 2007.

9.9 Revised Framework for Strategic Plans and Annual Performance Plans, 2019.

9.10 National Treasury Framework for Managing Programme Performance Information, 2007.

9.11 Departmental Circular 20 of 2020: Tools for Employees working from home.

9.12 National Health Department Circular 14 of January 2020: Standard Operating Procedure for preparedness, detection and response to Corona virus, 2019-NCOV.

9.13 Policy Framework for Government –Wide Monitoring and Evaluation Systems, 2007.

9.14 Guidelines for Provincial Quarterly Performance Reporting, 2020.

9.16 Provincial M&E Framework, 2016.

9.17 Batho Pele Principles, 2005.

10. POLICY PRONOUNCEMENTS

This PM&E Framework is a guiding tool in assisting the Department in evaluating its performance and to ensure performance improvements and accountability. PM&E assists in measuring effectiveness and efficiency and directs intervention where there is a need.

11. ROLES AND RESPONSIBILITIES

The following employees shall ensure that the purpose and objectives of this framework are achieved by discharging the following responsibilities:

11.1 The Head of Department

The HOD shall ensure the following:

11.1.1 Accountable for service delivery outputs, outcomes, frequency and quality of performance monitoring and evaluation information.

11.1.2 Accounts for the integrity of the systems responsible for PM&E information production and utilisation.

11.1.3 Ensures the compilation of realistic and credible strategic plans and the development of PM&E Plan.

11.1.4 Ensures that implementation of programmes from administrative position is consistent with government policy directives.

11.1.5 Assesses the impact of Departmental programmes and ensures improvements on service delivery where necessary.

11.1.6 Ensures implementation of guidelines and mandates from national government.

- 11.1.7 Ensures development of PI Plan.
- 11.1.8 Leads the processes to review performance and take management action to ensure improved service delivery.
- 11.1.9 Ensures managing performance information is included in the individual performance agreement of line managers and other employees.
- 11.1.10 Ensures there is appropriate capacity to manage performance information in planning, reporting and financial management responsibilities. This responsibility should include the overall design and management of indicators, data collection, collation and verification processes within the organisation.
- 11.1.11 Ensures there is an evaluation budget in all programmes and an evaluation plan over 3 - 5 years for which evaluations will be undertaken, and the form of evaluation and specific structures within the organisation entrusted with the evaluation role, and with the required skills.
- 11.1.12 Ensures that the results of evaluations are used to inform planning and budget decisions, as well as general decision-making processes.
- 11.1.13 Ensures that Heads of Branches keeps the Executive Authority informed of progress regarding the Departmental performance on a quarterly basis. High level strategic outcomes should be considered, challenges and trends identified and recommendations on corrective measures be made and presented to the Member of the Executive Council for further directive measures.
- 11.1.14 Accountable for establishing and maintaining systems to manage performance information effectively and to ensure that performance information systems are integrated within existing management processes and systems.
- 11.1.15 Acts on poor performance and ensure accountability for poor performance.

11.2 Deputy Director Generals and Chief Directors

DDGs and Chief Directors have the following responsibilities:

11.2.1. Validate and oversee performance information in their respective branches.

11.2.2 Ensure the PI systems and processes are established and maintained in the collection and collation of performance information.

11.2.3 Identify a set of performance indicators for reporting for the branch or chief directorate.

11.2.4 Sign off progress reports that are sent to PM&E sub-directorate within Strategic Operations Directorate to confirm accuracy of reported performance information.

11.2.5 Establish and maintain PM&E processes and systems within their respective directorates.

11.2.6 Ensure that employees under their supervision have PM&E responsibility included in their performance agreements.

11.2.7 Ensure the accurate data is used to calculate indicators within the branch/chief directorate.

11.2.8 Analyse performance reports for the branch/chief directorate and/ or entities.

11.2.9 Identify policies, programmes and projects to be evaluated and budget annually for these evaluation projects over MTEF period.

11.2.10 keep records (portfolio of evidence) of validated information against set targets as per the approved APP.

11.2.11 Validate and sign off means of verification prior to submission to Strategic Operations.

11.2.12. Identify the emerging risks with regards to records management and performance information through the annual risk assessment.

11.2.13 Provide quarterly reports on an analysis of performance against strategically Important indicators to DMC.

11.2.14 Act on poor performance and ensure accountability for poor performance.

11.3. Directors

All Directors have the following roles and responsibilities:

11.3.1 Establish and maintain the performance information systems and processes within their areas of responsibility.

11.3.2 Ensure that their performance agreements reflect this responsibility.

11.3.3 Identify a set of performance indicators for reporting for the directorate.

11.3.4 Establish and maintain PM&E systems, especially collecting, capturing, verifying and using data and information.

11.3.5 Ensure that accurate data is collected and captured and used to calculate indicators within the directorate.

11.3.6 Ensure the performance agreements of employees reporting under them deal explicitly with the quality of the performance data.

11.3.7 Develop and monitor the implementation of PI plan and PM&E Plan.

- 11.3.8 Ensure that performance agreements for employees reporting under them reflect the development and monitoring of the PI plan and PM&E responsibility.
- 11.3.9 Analyse performance reports for the directorate.
- 11.3.10 Ensure that PM&E is implemented at programme level.
- 11.3.11 Ensure verification and validation of monthly, quarterly and annual performance reports.
- 11.3.12 Ensure that PM&E reports recommendations are implemented.
- 11.3.13 Keep records (portfolio of evidence) of validated performance information against set targets for the directorate.
- 11.3.14 Provide documentations or information required by the PM&E unit and the auditors at given time.
- 11.3.15 Consolidation of credible, realistic and accurate monthly and quarterly reports.
- 11.3.16 Improve the performance of their directorates and incorporate evaluation results into what they do including the planning process.
- 11.3.17 Identify policies/ programmes/ projects to be evaluated and budget annually for these evaluation projects for three years (MTEF period).
- 11.3.18 Identify the emerging risks with regards to records management and performance information through the annual risk assessment.

11.4 The Strategic Planning Directorate: PM&E Sub – directorate

The PM&E sub-directorate is responsible for ensuring that PM&E framework and other

related legal prescripts are implemented and ensures that norms and standards as well as sound PM&E practices in the Department are well coordinated. The sub-directorate has the following roles and responsibilities:

11.4.1 Coordinates and integrates PM&E information and acts as a champion for PM&E systems.

11.4.2 Develops and coordinates PM&E framework and plan and support decision making through recommendations and/or improvement plans.

11.4.3 Monitors and evaluates Departmental programmes and improves accountability and transparency and ensures that Indicators, targets and baselines are reflected in the following Departmental documents: Strategic Plan, APP and quarterly reports (against APP and Annual Report).

11.4.4 Plans and reports on Departmental performance information through the following activities:

(a) Sending out PM&E session notifications and reporting template on a quarterly basis to all heads of branches.

(b) Consolidation of credible quarterly and annual performance reports for LEDET.

(c) Monitors Departmental quarterly and annual performance.

(d) Analyses the performance of the Department on quarterly and annual basis and present the analysis report to the DMC or the relevant Portfolio Committee of the Legislature.

(f) Submits quarterly and annual performance reports to all relevant oversight Institutions including the relevant National Departments, the Provincial Legislature, Office of the Auditor- General, Provincial Treasury and Office of the Premier.

- (g) Advises management on options to be considered against poor performance through improvement plans and improvements to be made on resource allocation and monitors implementation of PM&E recommendations.
- (h) Monitors compliance to timeframes and timelines for reporting purposes in line with legislative requirements.
- (i) Co-ordinates the evaluation of Departmental programmes and projects.
- (j) Ensures the implementation of PM&E by providing expertise and support as well as acting as a Departmental service hub for related initiatives.
- (k) Keeps a register of compliance reporting by branches and chief directorates for purposes of performance management systems.
- (l) Evaluates Departmental performance (Evaluation can be done in-house depending on the scope of the work and capacity or be outsourced to a specialized service provider). In case the service is outsourced, the PM&E unit may serve as the Project Management Unit.

11.4.5 Monitors and validates quarterly progress on all the programmes against the set targets. The entry point to these programmes is employees at the rank of Director and/or above.

11.4.6 Conducts physical verifications on Departmental programmes and projects, conduct verification visits in liaison with the Project Managers.

11.4.7. The physical verification process must confirm the reported progress against the actual reported work on the ground. The PM&E unit shall develop a monitoring tool that is to be used when conducting the verification visits.

11.4.8. Provides support and guidance in the development of performance indicators during the planning process.

11.4.9 Development and coordination of the PI Plan.

11.4.10 Serves as a Secretariat during the M&E Committee quarterly and annual reporting sessions.

11.4.11 Electronically Safe keep of all means of verification on quarterly basis.

11.4.12 Co-ordinates MPAT activities within the Department, as and when required.

11.4.13 Participate in the M&E sessions of Departmental entities.

11.4.14 Ensures technical standards for validation of performance information are adhered to.

11.4.15 Analyses State Owned Entities' quarterly performance and upload the assessment results on the e-QPRS.

11.5 Chief Director overseeing Departmental SoEs

The Chief Director overseeing SoEs have the following roles and responsibilities:

11.5.1 Ensures that delivery agreements (shareholder compact) are developed and duly signed with entities.

11.5.2 Analyses and presents analysis outcome reports on the performance of the SoEs to the HOD.

11.5.3 Ensures that verifications are conducted on reported progress against the targeted performance.

11.6 The SoEs

Departmental SoEs have the following roles and responsibilities:

11.6.1 Implement mandates originating from Departmental strategic plan and delivery agreements (shareholder compact).

11.6.2 Develop systems for the management of own performance information and PI management plans

11.6.3 Support reporting functions and report on progress made on quarterly basis to their Boards.

11.6.4 Develop programme performance indicators in consultation with the Department.

11.6.5 Report to the Department on the entity's performance on a quarterly basis.

11.7 Departmental Management Committee

DMC has the following responsibilities:

11.7.1 Provides strategic leadership and direction regarding management of PI for the Department.

11.7.2 Monitor implementation of the Departmental plans and reporting in accordance with the Legislative requirements.

11.7.3 Be provided with progress reports on implementation of various Departmental programs and projects.

11.7.4 Take corrective actions to improve Departmental performance.

12. DEFAULT

An employee who fails to comply with the provisions of this Framework shall be dealt with in terms of the Public Service Disciplinary Code and Procedures for the Public Service.

13. INCEPTION DATE

The inception date of this policy is 30 (thirty) days after approval by the Executive Authority or delegated official.

14. POLICY REVIEW

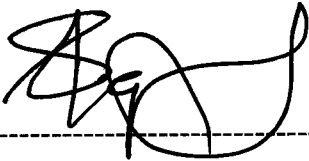
This policy shall be reviewed every 36 (thirty-six) months after the date of approval.

15. ENQUIRIES

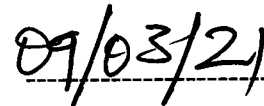
Enquiries regarding this framework should be directed to the Director: Strategic Operations.

16. APPROVAL

Approved by:



HEAD OF DEPARTMENT: LEDET



DATE