



**LIMPOPO**  
PROVINCIAL GOVERNMENT  
REPUBLIC OF SOUTH AFRICA





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DEPARTMENT OF SOCIAL  
DEVELOPMENT  
MONITORING AND EVALUATION  
FRAMEWORK

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## DOCUMENT APPROVAL PAGE

Limpopo Provincial Department of Social Development Monitoring & Development Framework

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## LIST OF ACCRONYMS

AG	Auditor General
APP	Annual Performance Plan
AoPI	Audits of Predetermined Objectives
GWM&E	Government-wide Monitoring and Evaluation
HoD	Head of Department
IDP	Integrated Development Plan
IQMS	Integrated Quality Management System
LDSD	Limpopo Department of Social Development
LEGDP	Limpopo Economic Growth & Development Plan
M&E	Monitoring and Evaluation
MEC	Member of the Executive Committee
MOV	Means of Verification
NGO	Non-Government Organisation
NPO	Non-Profit Organisation
OTP	Office of the Premier
PFMA	Public Finance Management Act of 1999
SPP	Strategic Performance Plan

## Foreword

Public service reforms since 1994 such as the Public Finance Management Act (PFMA), MFMA, medium term planning and budgeting, and quarterly performance reporting encourages the Department to define the outcomes and outputs which need to be achieved in the Departmental strategic and annual performance plans in order to plan a service delivery output mix that will achieve objectives and allocate budgets to the outputs through measurable objectives.

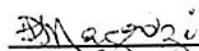
These reforms in turn create the need for the other reforms aimed at monitoring the execution of plans and budgets. As a result, performance monitoring and quarterly performance reporting on non-financial service delivery information became obligatory. The Government-Wide Monitoring and Evaluation (GWM&E) policy framework extends these reforms further into the areas of:

- Management of programme performance information;
- Evaluation; and
- The statistical framework

The goal of the Monitoring and Evaluation Framework for the Department is to guide collection, analysis, use, and dissemination of information that enables the tracking of progress made in response to Social Development programmes and enhances informed decision-making. The Framework further articulates the linkages of monitoring and evaluation activities reporting relationships, the plan used to measure inputs, outputs, outcomes, and impact of programmes in line with the Negotiated Service Delivery Agreements (NSDA) for Social Development.

In order to operationalize the Monitoring and Evaluation Framework for Social Development, the following shall be carried out:

- The establishment of a functional M&E system that provides mechanisms for the timely collection, processing, and reporting performance information to responsively improve performance; and
- Mounting capacity building to enhance departmental staff's skills.



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Mme D.P. Magadzi 2011/11/01  
Honourable MEC for Health and Social Development



## **ACKNOWLEDGEMENTS**

This framework focuses on the basics of setting up and using a Monitoring and Evaluation (M&E) system to monitor, evaluate report and improve on performance. It also explores M&E concepts, and provides the direction which the Department should adopt to design an effective monitoring and evaluation system.


The process of developing the Provincial Monitoring and Evaluation Framework has been participatory and all-inclusive with consultations at provincial, districts and facility levels.

Many thanks go to National Department of Social Development Clusters:

- Strategic Planning for guidance on the reporting Framework
- Southern Hemisphere for being our service provider

Special thanks to the Office of the Premier, Limpopo Province for the capacity building efforts in relation to designing a Government-Wide Monitoring and Evaluation System.

We would also like to sincerely thank the Directorate Monitoring and Evaluation for steering the production of this framework. Special thanks to Provincial M&E staff who made comments on the draft of the framework.



Head of Department of Social Development

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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.

## 2. WHO SHOULD USE THIS FRAMEWORK?

This M&E 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. *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.

### 2.3. *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;
- Aid 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.

### **3. PURPOSE AND AIM OF M&E**

The main purpose of M&E at the Limpopo Department of Social Development (LDSD) is to facilitate better service delivery in the province. This is achieved through providing critical information needed to improve implementation processes, performance and management practices.

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.

Strategic Objective 8, as set out in Department's *Strategic Plan 2010/11 to 2014/15*, is to "Implement effective and efficient monitoring evaluation systems." Such systems must be operating effectively and efficiently by 2014. The Strategic Plan draws links between Objective 8 and Priorities 7, and 10 of the Medium Term Strategic Framework (MSF). These National Strategic Priorities are:



- Building cohesive, caring, and sustainable communities; and
- Building a developmental state including improvement of public services and strengthening democratic institutions.

The M&E system will also assist the Department in fulfilling other Strategic Objectives. These include:

*3.1. Providing Information and records management services (Strategic Objective 4):*

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

*3.2. Providing effective and efficient communication services (Strategic Objective 5):*

The Department's communications with stakeholders will be boosted by much higher quality information on progress towards meeting objectives, outputs and outcomes.

*3.3. Providing risk management services: (Strategic Objective 6):*

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 AND WORK OF THE LIMPOPO DEPARTMENT OF SOCIAL DEVELOPMENT (LDSD)**

### *4.1. Vision*

Well cared for, socially developed, empowered and self-reliant people of Limpopo

#### 4.2. *Mission*

By ensuring the provision of comprehensive integrated, sustainable and quality social development services to the vulnerable individuals, households and communities in partnership with relevant stakeholders

#### 4.3. *The Work of the Department of Social Development*

The Department of Social Development is the institution responsible for implementation of policies and laws in place needed to regulate the successful and effective social development programmes in Limpopo Province.

The regulatory role is a complex collection of responsibilities and functions that include setting standards, allocating resources and monitoring evaluating progress and performance. The success of this role will ensure a caring and integrated social development system that provides services facilitating human development and improved quality of life.

As part of addressing key priorities, the department's work is arranged around the following strategic themes:

- Tackling child poverty;
- Tackling adult and older person's poverty;
- Youth development;
- Social cohesion;
- Civil society support and strengthening of communities;
- Governance and institutional development;
- Regional and international solidarity and development.

The National Department of Social Development's 2011/12 strategic plan identified the following key priorities, all of which are relevant to Provincial Departments:

- Caring for and protecting vulnerable groups, especially children, women and people with disabilities;
- Strengthening families and communities;
- Transforming social relations, with a specific focus on gender and victim empowerment;
- Providing comprehensive social security, including income support and a safety net for the destitute;
- Strengthening institutional capacity to deliver quality services;
- Reinforcing participation in key bilateral and multilateral initiatives that contribute to poverty eradication.

## **5. LEGISLATIVE AND POLICY MANDATES**

### *5.1. Legislative*

The Department derives its legal mandate from the following pieces of legislation:

- Older Persons Act, 2006 (Act 13 of 2006)

Provides a framework for the empowerment and protection of older persons.

- Fund-raising Act, 1978 (Act 107 of 1978)
- Social Service Professions Act, 1978 (Act 110 of 1978)

Promotes and regulates the practices of social service practitioners and professionals

- Child Care Act, 1983 (Act 74 of 1983)
- Children's Amendment (Act No. 38 of 2005)

Provides the framework for the care and protection of children

- Children's Act, 2007 (Act 41 of 2007)
- National Development Agency Act, 1998 (Act 108 of 1998)
- Probation Services Act, 1991 (Act 116 of 1991)

Provides for the transformation of the child and youth care system

- Prevention and Treatment of Drug Dependency Act, 1992 (Act 20 of 1992)

Provides for a comprehensive national response for the combatting of substance abuse.

- Social Assistance Act, 2004 (Act 13 of 2004)

Provides for the rendering of social assistance to person, national councils and Social Development Organisations;

- Non-profit Organisations Act, 1997 (Act 71 of 1997)

Provides the framework for the regulation of non-profit organisations

- Welfare Law Amendment Act, 1997 (Act 106 of 1997)
- White Paper for Social Welfare Service (1997)

Provides the basis to transform social welfare services through a developmental approach.

- Domestic Violence Act (Act no. 61 of 2003)

Provides for the protection of the victims of domestic violence and vulnerable members of society.

- Child Justice Act (Act. no. 75 of 2008)

Provides the framework for dealing with children in conflict with the law

- Policy and planning frameworks

The following documents also guide the work of the Department and the social development sector:

- Department of Social Development Annual Performance Plan (Vote 12) 2010/11–2013
- Policy on financial awards to service providers 2004
- National Integrated Disability Strategy
- Disability Policy 2006
- Relevant conventions and agreements
- Population Policy 1998

- National Crime Prevention Strategy
- Minimum Standards for Residential Facilities for People with Disabilities
- Policy on Substance Abuse
- Family Policy
- Policy Framework on Orphaned and Vulnerable Children

## **6. LEGISLATIVE, POLICY AND STRATEGIC CONTEXT OF THE LIMPOPO DEPARTMENT OF SOCIAL DEVELOPMENT**

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. Green Paper on Improving Government Outcomes*

Government outcomes in terms of the quality and impact of services have to improve as a matter of urgency. As a result, government is moving from managing inputs (i.e. budgets, personnel, equipment and infrastructure, etc.) to managing for outcomes which positively impact on the lives of citizens. Achieving outcomes requires a collective effort from government as a whole. All spheres, public entities and organs of state need to coordinate in producing service delivery outputs which will culminate in the achievement of priority outcomes of government. The President and Cabinet have determined a core set of 30-40 main outcome indicators in 7 priority areas (basic education, health, safety, rural development, housing, job creation strategies and public sector capacity). These are politically determined policy outcomes that are directly linked to the mandate of government.

### *6.4. Medium Term Strategic Framework (MTSF)*

The fourth (4th) democratic elections ushered in a new electoral mandate which defines the strategic objectives and targets of government for the period 2009–2014. This Medium Term Strategic Framework (MTSF, 2009 – 2014) 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.

#### 6.5. *State of the Nation Address in 2010 and 2011*

The President of the Republic of South Africa has pronounced: "We remain committed to building a performance-orientated State" and has made reference on more than one occasion for the need to "strengthen monitoring and evaluation systems in government".

#### 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. The Role of the Premiers' Offices in GWM&E: A Good Practice Guide*

The aims of the Good Practice Guide are to:

- Outline the role of the Premier's Office in the Province-wide M&E as part of the implementation of the GWM&E framework;
- Review the developing province-wide M&E practices in the nine governments;
- Identify common challenges confronting Premiers' Offices, as well as emerging good practices; and
- Provide guidance on future GWM&E Policy Framework implementation

#### *6.9. 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 Province's Employment Growth and Development Plan (LEGDP) and the Millennium Development Goals (MDG). 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.



#### 6.10. *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.

#### 6.11. *Limpopo Employment, Growth & Development Plan (LEGDP)*

The LEGDP identifies an action plan for social grants that would ensure effective administration of payment to legitimate beneficiaries and continuously monitor the gap between actual and potential beneficiaries. The plan mandates that appropriate action

be taken to close this gap and also requires the Department to explore possibilities of linking the payment of social grants to voluntary development activities in communities.

The LEGDP also obliges the Department to create a database of non-profit organisations and notes that communication between the Department and these organisations must be improved to keep strategic interventions aligned and to enable the provision of appropriate support. In addition, the Plan envisages the provision of assistance to the non-profit organisations to help them raise donor funding to supplement departmental resources.

## **7. UNDERLYING CONCEPTS AND KEY TERMS**

### *7.1. Monitoring & Evaluation*

#### **7.1.1. 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.

#### **7.1.2. 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.

### *7.2. Uniform Sector Definitions of Critical M&E Concepts*

**Activities:** The processes or actions that use a range of inputs to produce the desired outputs and ultimately outcomes. These simply refer to and describe “what we do” to achieve outputs and ultimately outcomes.

**Analysis Report:** A report that outlines analyses done with findings on the trends, challenges and recommendations on corrective actions.

**Baseline:** A description of status quo on your indicators, usually statistical in form and nature, that provides a point of comparison for future performance. It is the current level of performance which the institution aims to improve when setting performance targets for a policy, programme or any other intervention.

**Data collection Tools:** Methodologies used to identify information sources and collect information during monitoring and evaluation. Examples of these are informal and formal surveys, direct and participatory observation, community or stakeholder surveys, focus groups, expert opinions, case studies and literature search.

**Effectiveness:** The extent to which an organisation, policy, programmes or initiative is meeting its expected results.

**Efficiency:** The extent to which an organisation, policy, programmes or initiative produces outputs in relation to resources used.

**Focus Group:** Refers to a method of collecting qualitative data in the form of a group interview where the aim is to understand the participants through a collection of verbal and observational data. This is also used to elicit general information, clarify details or gather opinions from a small group of people selected to provide their viewpoints, which are used usually to generate qualitative information such as opinion on impact of change, quality of services, or areas for improvement.

**Full Delivery Chain:** Often referred to as a **Results Chain**, refers to the necessary causal sequence of a development intervention to achieve desired objectives; beginning with inputs, moving through activities and outputs and culminating in outcomes, impacts and feedback. It is an integrated approach to performance monitoring and evaluation, holistically directed to achieving outcomes by focusing on how outputs, activities and inputs, and their implementation, are contributing and leading to desired results, outcomes and impacts.

**Goal:** The higher level objective that the programme or project is meant to contribute to in the long run. This must provide sufficient justification for the intervention.

**Impact:** The results of achieving specific outcomes e.g. "*all citizens are Safe and secure*" resulting from crime reduction.

**Indicators:** The signs or markers that tell us how are we progressing towards meeting our objectives. These refer to what is to be examined to see whether we are still on track.

**Inputs:** Refer to all the resources that contribute to the production and delivery of outputs. They describe "*what we use to do the work*" and include finances, personnel, equipment and buildings.

**Means of Verification:** Refer to the location of the source of evidence used to determine information on an indicator of programme or project achievement.

**Monitoring Report:** A report compiled during the monitoring and evaluation of a project, programme etc. that indicates background information to the monitoring, trends observed in the monitoring, challenges and recommendations for corrective actions.

**Outputs:** The final products, goods and/or services delivered. Outputs may be defined as "*what we produce or deliver*".

**Outcomes:** The medium term result for the target group that is the consequence of achieving specific outputs and should relate to departmental strategic goals and objectives set out in its plans. They are what we wish to achieve.

**Results Based Management:** This approach to management is based on four pillars:

- 1) the definition of strategic goals which provides focus for action;
- 2) the specification of expected results which contribute to achievement of these goals and alignment of programmes, processes and resources in support of these expected results;

3) the ongoing monitoring and evaluation of performance and integrating lessons learnt into future planning; and

4) improved accountability of results; whether programmes made a difference in lives of ordinary South Africans.

**Validity:** The extent to which something is reliable and actually measures up to what it is intended to measure. This includes data collection strategies and instruments.

## **8. CURRENT AND PLANNED INFORMATION SYSTEMS**

### *8.1. Social Development Information Management System(SDIMS)*

Highly relevant to Monitoring & Evaluation is the electronic Social Development Information Management System (SDIMS). Critically, SDIMS will be able to provide the Means of Verification for many indicators in the still-to-be-developed M&E Plan.

However, the system is relatively new and many potential users, including many social workers, are not yet trained to use it. Some sub-district and district offices of the Department also have limited or no connectivity which means that SDIMS is under-utilised or not utilised. However, where it is used, SDIMS is functioning well.

Resources for both greater connectivity and for training are required to ensure that SDIMS functions as a highly effective M&E tool. There must also be greater access to SDIMS for staff in the Provincial office.

### *8.2. National Integrated Social Information System (NISIS)*

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.

### 8.3. *Child Protection Registration System (CPRS)*

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

### 8.4. *Manual Data Collection Tools*

A manual data collection has been customised for Programme 2 (Social Welfare Services). NGOs/NPOs contracted to the Department are required to submit the information on a monthly basis. This tool, and any subsequent tool, should speak to the SDIMS and be interactive with it.

## **9. INDICATOR DEFINITION PROTOCOL**

### 9.1. *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.

### 9.2. *Definition of indicators*

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.

### 9.3. *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.

The indicator set for each programme as well as their metadata will be described in the M&E plans.

## **10. 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 predetermined 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.

This M&E 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 Branch 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 branches within the LDSD must be signed off by the relevant Head of Branch.

The M&E Unit shall, upon receipt of the submissions from the Branches, consolidate them into a Departmental Performance Report and conduct an analysis based on the processes outlined in this 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.

The M&E Unit shall provide feedback to respective Branch Heads for corrective action and decision making.

## **11. NON GOVERNMENT ORGANISATIONS**

More than any other Department in the Limpopo Provincial Government, the Department of Social Development relies on partnerships with 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 to 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 need to be developed that provides 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 recommendations for development and action, are addressed to line Management

As noted in Section 7, NPOs are currently required to use paper-based data collection tools to gather information on service delivery using indicators formulated by national and 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.

## **12. M&E STAKEHOLDERS**

Notwithstanding the persons and institutions outlined in Section 2 of this report (concerning who should use this document) the following list describes the main parties that have a direct interest in the information generated through M&E.

### *12.1. Provincial*

- Office of the Premier
- Treasury
- Legislature, including the Portfolio Committee on Social Development
- Stats SA Provincial Office
- Social Cluster

### *12.2. Interdepartmental stakeholders*

- Education
- Health
- Public works
- Safety & Security
- Local Government & Housing

### *12.3. National Government Departments*

- Social Development
- Corrective Services
- Justice & Constitutional Development

#### *12.4. National Government Agencies*

- National Lotteries Board
- South African Social Security Agency (SASSA)
- Small Enterprise Development Agency (SEDA)
- National Development Agency (NDA)

#### *12.5. National Research Institutions*

- Human Sciences Research Council (HSRC)
- Agricultural Research Council (ARC)

### **13. THE M&E UNIT AT LDSD**

#### *13.1. National Mandate*

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; through active participation with the M&E Chief Directorate;
- Collecting of data at a District, local and Institutional level;
- Verifying information on the programmes indicators for the Province;
- Assisting with the finalization of the reports for the Province;
- Assisting with setting of realistic and achievable targets;
- Assessing the quality of data and support data flow.

#### *13.2. Status Quo of M&E Unit at LDSD*

The senior Manager of the M&E Unit reports directly to the Head of Department.

The M&E Unit is fully operational but is under-staffed. As of June, 2011 the M&E Unit Human Resources were as follows:

- One Senior Manager
- Two Deputy Manager
- One Personal Assistant

There are two vacant posts for two Provincial Managers, and one data capturer in the Unit. These will be advertised nationally and it is hoped that the new officers will be appointed in late 2011. The filling of these positions will be critical in order to develop the capacity to implement a department-wide M&E system.

The Unit also faces challenges with regard to telephonic communication and office space. As of mid-2011 the Unit has no access to Telkom lines. Neither Deputy Managers currently have their own office space and there is currently no space for the new staff members.

In terms of information and reporting, a paper-based system is still in use from the sub-district level to Province and an electronic system is in use from Province to Treasury Information Systems). The data flow guideline document has been developed and was approved in August 2010.

The Unit has facilitated the implementation of the Social Development Information System (SDMIS) and has trained approximately 250 of 447 Social Workers to use it. The SDIMS has an important role to play within the Department's M&E system (see Section 8).



### 13.3. Functions of the Unit

The functions of the Monitoring and Evaluation Division within LDSD include, inter alia:

- Coordinating the monitoring, verification of, and consolidation of reporting on selected programmes in the Department. This will include reporting on the progress towards achieving strategic objectives as set out the Departmental Strategic Plan and Annual Performance Plans;
- Monitoring and evaluating the effective and efficient achievement of the M&E Plan using indicators and baseline information and measuring results based on these indicators and baselines;
- Compiling and submitting reports to the Office of the Premier as well as Provincial Treasury once approved by the HoD
- Making recommendations to Departmental Management on the improvements required to ensure that targets per programme/project are achieved;
- Implementing a responsive evaluation programme which will help to ensure that the Department's mandates are realized;
- Working closely with the M&E Unit within the Office of the Premier to ensure standardisation and the implementation of a single M&E Framework and System ;
- Assessing the M&E capacity within the Department and conducting periodic training on M&E to build the requisite skills internally and to create a culture of critical self-assessment among all staff which is open to continuous learning and innovation;
- Coordinating the standardisation of M&E templates and processes within the Department. In addition, the M&E Unit is responsible for establishing a system that can be used by all role-players to capture, collect, store and use data. This system need not be electronic but should be standardised to ensure the capturing of similar data by all role-players.
- Collaborating with Statistics SA to ensure that detail required by Statistics SA in terms of national data be complied with and principles of quality data is incorporated into the various M&E products;

- Acting as an M&E resource to the Department providing advice, insight on good practices and support for the effective use of M&E as a management tool.
- Coordinating, promoting and disseminating the use of M&E findings to support service delivery improvement, and report on whether follow-up action was taken or not;

## **14. Roles and responsibilities**

In addition to M&E Unit itself, the roles, responsibility and accountability 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
- Managers at all levels
- Social Workers
- Data capturers

An effective M&E system must have deep reach. Data collection for M&E begins at the Ward level where social workers take the responsibility and collect data from auxiliary social workers and community development workers. Data capturers are located at the sub-district and district offices. Each district office should have an M&E Manager and Deputy Manager and they have a direct relationship with the M&E Unit.

**14.1. Executive roles are set out as follows:**

**14.1.1. Member of Executive Council (MEC)**

The MEC for Social Development will monitor and evaluate the effectiveness and efficiency with which the 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

**14.1.2. Head of Department (HoD)**

The Head of Department as Accounting Officer has responsibility to ensure that the Department fulfils its reporting requirements to the Executive Authority (MEC). Specifically in relation to Monitoring & Evaluation, the Head of Department will:

- Submit of reports to bodies referenced in Section 7;
- Ensure that department maintains an appropriate performance information systems;
- Ensure there is senior management buy-in to M&E;
- Ensure that prompt action is taken in response to M&E findings;
- Ensure that departmental resources are allocated to conducting M&E;
- Publish M&E information;
- Ensure that appropriate capacity exists for monitoring and evaluation function;
- Ensure that M&E system is operating effectively.

#### 14.1.3. Chief Financial Officer (CFO)

The CFO is responsible for:

- Ensuring that departmental performance 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 Branch Managers;
- Ensuring financial support information is provided in good time for reporting properly by Branches (variance reporting);
- Ensuring departmental compliance with Auditor General (AG) requirements for financial and non-financial submissions.

#### 14.1.4. Managers

Roles of managers at each level and location still need to be more clearly defined. Managers at all levels throughout the Department have an innate M&E responsibility that requires some element of data collection, analysis and, in particular, interpreting information. In determining information needs, a manager should be able to identify appropriate indicators that speak to their objectives.

### 15. 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.

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. One possible resource is the PALAMA M&E curriculum (Appendix C).

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.

## **16. 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.

The M&E Policy Framework will be reviewed annually in a consultative process by the M&E Unit, with close consultation with the MEC and the HoD, to ensure that it keeps abreast with innovations and incorporates lessons learnt so that the department continuously improves on existing practices and procedures. This policy will remain in force until and unless it has been withdrawn and amended by the Executive Authority

The M&E Plan (when developed) will be attached to this framework as an appendix.

## **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.



**INCEPTION DATE**

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

## APPENDIX 1: DISTINGUISHING EVALUATION FROM MONITORING AND RESEARCH

Evaluation is a distinct field, separate from both research and evaluation in terms of its focus (what it looks at), purpose (what it seeks to achieve), rationale (the reason why it is being done) and scope (the range and reach). The following table highlights the differences between the three areas of work:

	Monitoring	Evaluation	Research
FOCUS	Both Monitoring and evaluation focus on interventions implemented in and by the social development system		Research focuses on social development issues but not specifically on interventions.
PURPOSE	To measure what is being done	To understand the causal link between what has been done and what has been achieved.	To take a broader view and gather knowledge, deepen understanding and gain insight
RATIONALE	This is a fiduciary	Evaluations are an investment in	Research is undertaken in

responsibility  
that allows  
accountability  
and is a  
prerequisite for  
transparency

increased  
knowledge that  
should lead to  
improved  
performance.

order to ensure  
that current  
concerns and  
activities do not  
limit perspectives  
and horizons

SCOPE

Monitoring  
should be  
comprehensive  
and systematic

Evaluation is  
selective and  
focused on specific  
questions.

Research is  
targeted and  
relates to broad  
strategic  
concerns

## APPENDIX 2: LAYOUT OF A PROGRAMME OR PROJECT EVALUATION PLAN AND REPORT

### Layout for Programme/Project Evaluation Plan and for Evaluation Report

- 1) Cover page/Title page of M&E implementation plan:
  - a) Name of the public sector institution
  - b) The programme, sub-programme or project to be evaluated
  - c) The contact person details
  - d) Date
- 2) Table of Contents
- 3) Executive summary: one page summary of evaluation plan
- 4) Purpose of the report:
  - a) What is the purpose of the evaluation?
  - b) What are the main performance questions which will be analysed?
  - c) How is it anticipated that the M&E findings will be used?
- 5) Programme/Project Background
  - a) Description of the programme/project to be evaluated
  - b) Underlying need fulfilled by the programme or project / Problem statement/ overall goals. Most of these can simply be summarised from strategic plans, budgets or annual performance plans.
- 6) Detailed Evaluation Plan
  - a) Scope of the evaluation
  - b) Selection of the evaluation team members
  - c) Identification of the relevant stakeholders
  - d) General approach to evaluation: e.g. will it be performed in-house or contracted out to external consultants or academic institutions?
  - e) Methodology to be used
  - f) What datasets will be required (surveys, administrative data etc)
  - g) How will data be collected, verified and analysed?
  - h) What will comprise the baseline information?
  - i) Citations of relevant literature or international case studies
  - j) What are the likely limitations of the findings?
  - k) Communication strategy: how will the findings be communicated to stakeholders? How will critical reflection and learning be encouraged?
- l) M&E resources and indicative budget required, evaluation workplan with timelines, roles and responsibilities
- 7) Capacity building
  - a) Assessment of current data gaps likely to impact on future evaluations?
  - b) Training and human capacity gaps
  - c) Software, equipment and other resource gaps
  - d) Plans to address the above.

## APPENDIX 3: THE PALAMA CURRICULUM

### MONITORING AND EVALUATION COURSES

COURSE NAME	DURATION	TARGET AUDIENCE	CONTENT	ADMISSION REQUIREMENTS	STATUS
<b>M&amp;E OVERSIGHT AND MANAGEMENT COURSES</b>					
Basic M&E orientation course	1 day	SMS MEC's Parliamentarians, etc  Trainers to	<ul style="list-style-type: none"> <li>• Differences and similarities between evaluation, monitoring and research</li> <li>• Differences between inputs, processes, activities, results: outputs, outcomes, impact</li> <li>• Primary and secondary data sources</li> <li>• The use of indicators for measuring inputs, processes, activities, outputs, outcomes and impact</li> <li>• Concepts of baseline and performance</li> </ul>	NONE	Course has been piloted and will be ready to be rolled-out by September 2008

COURSE NAME	DURATION	TARGET AUDIENCE	CONTENT	ADMISSION REQUIREMENTS	STATUS
Strategic Planning and M&E Course	2 days	customize course to needs and context of target audience	<p>targets</p> <ul style="list-style-type: none"> <li>• The components of a monitoring system</li> <li>• Three key uses of data in relation to monitoring – i.e. for project management, feeding into evaluations and sharing and reporting to others</li> <li>• The link between monitoring and evaluation systems and the Government Wide Monitoring and Evaluation System</li> <li>• The key roles of government institutions in performance information management</li> <li>• The importance of monitoring as a management tool</li> </ul>		
		SMS Middle managers	<ul style="list-style-type: none"> <li>• Summary of the principles of strategic planning and management.</li> <li>• Brief explanation and discussion of M&amp;E concepts and definitions</li> <li>• Understanding M&amp;E findings, with particular emphasis on quality issues.</li> </ul>	Completed basic or general M&E Orientation Course	Course is scheduled to be piloted in August and should be ready for roll-out by

COURSE NAME	DURATION	TARGET AUDIENCE	CONTENT	ADMISSION REQUIREMENTS	STATUS
			<ul style="list-style-type: none"> <li>How M&amp;E findings can be used to identify the strengths and weaknesses of the implementation of previous strategic plans.</li> <li>How to use M&amp;E findings to improve new strategic planning.</li> </ul>		October 2008
M&E and performance Management Course	Estimated: 2- days	SMS Middle managers	<ul style="list-style-type: none"> <li>Principles of performance management, drawing up performance contracts &amp; cascading performance contracts downwards.</li> <li>Explanation and discussion of M&amp;E concepts and definitions, the cyclical nature of planning in government in relation to performance contracts.</li> <li>Applying M&amp;E principles to performance management contracts, taking into account inputs, processes, activities, outputs, outcomes and impacts.</li> <li>Using M&amp;E information sources for performance-management, including</li> </ul>	Completed basic or general M&E Orientation Course	Course is scheduled to be developed in 2009

COURSE NAME	DURATION	TARGET AUDIENCE	CONTENT	ADMISSION REQUIREMENTS	STATUS
					make a booking or find out more about training dates
<b>M&amp;E COMPETENCY/ SKILLS COURSES</b>					
M&E / Qualitative Research	7 days	M&E professionals/ practitioners	<p>Summarises basic M&amp;E concepts and links them to the principles of effective qualitative research methods, including</p> <ul style="list-style-type: none"> <li>undertaking situational analyses, systematic observations, rapid rural assessments and other appraisals, case studies, focus-group discussions</li> </ul>	Completed general 3 days orientation course.	October 2008



COURSE NAME	DURATION	TARGET AUDIENCE	CONTENT	ADMISSION REQUIREMENTS	STATUS
M&E Quantitative Research and Data analysis	5 days	M&E practitioners; professionals	<p>Links between quantitative research and M&amp;E and description of quantitative research, including</p> <ul style="list-style-type: none"> <li>• and individual interviews: developing observation sheets, open-ended questions, discussion guides,</li> <li>• analyzing qualitative data, including content analysis techniques</li> <li>• linking M &amp; E and qualitative research to inputs, activities, processes, outputs, outcomes and impacts</li> </ul> <p>Basic methods of quantitative research including: surveys and other research designs</p> <p>Basic principles of measurement including: dependent, independent, intervening and extraneous variables and control methods. Nominal, ordinal and interval measurements</p>	Completed general 3 days orientation course and the 7 days qualitative research course	October 2008

COURSE NAME	DURATION	TARGET AUDIENCE	CONTENT	ADMISSION REQUIREMENTS	STATUS
M&E/ Database Development & Use	12 days	M&E practitioners/ professionals	<ul style="list-style-type: none"> <li>• Basic statistical principles and techniques used in research, including: central tendencies, distributions, probability and non-probability sampling, sampling and non-sampling errors</li> <li>• Data capture and analysis, basic maths &amp; statistical principles for data analysis, principles of tabulation and using graphs to analyse data, linking indicators to data.</li> </ul>	Completed general 3-days orientation course.	October 2008



LIMPOPO  
PROVINCIAL GOVERNMENT  
REPUBLIC OF SOUTH AFRICA

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DEPARTMENT OF SOCIAL  
DEVELOPMENT  
PROCEDURE MANUAL

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## PERFORMANCE INFORMATION REPORTING GUIDELINES

### 1. INTRODUCTION

1.1 The purpose of the reporting framework is to present reporting with regard to:

1.1.1 Reporting performance, performance position, and changes in performance.

1.1.2 The procedures for on-going monitoring of performance outcomes, conducting the desktop review, planning and conducting the on-site review, guidelines for developing the monitoring report, methodology for developing corrective action plans and the importance of providing technical assistance and follow-up as part of the monitoring process.

### 2. BACKGROUND OF REPORTING

2.1 Recent global emphasis on monitoring and Evaluation is linked to the notion that government also needs to demonstrate accountability and efficiency.

2.2 Demystification implies that both political (elected) and administrative (appointed) spheres show results, and are open to be measured externally.

2.3 Government is required to measure and report on its performance.

2.4 Changing political context (political, civic and administrative) that is accountable and receptive to measurement which can be proven by reporting.

### 3. LEGISLATION AND THE REPORTING FRAMEWORK

The public Finance Management Act (PFMA), No. 1 of 1999, requires departments to "prepare financial statements for each financial year in accordance with generally recognised accounting practice". The PFMA was promulgated prior to establishment of the Accounting Standards Boards (ASB), therefore Treasury Regulation 18.2 stipulates that: In the absence of any implementation dates set for the standards of generally recognised accounting practice issued by the Accounting Standards Board, the following reporting standard comprise generally recognised accounting practice and must be adhered to for the preparation of annual financial statements, unless otherwise approved by the National Treasury:

- State of readiness (being undertaken)
- Development of PWM&E Framework,
- Provincial capacity building initiatives, and
- Continue with the M&E Forum to share information and knowledge

### 4. MANAGEMENT INFORMATION ISSUES

- Monitoring procedures shall rely heavily on the quality of the Management Information Systems (MIS) reports of performance and expenditure.

- MIS reports shall be built around critical management information issues, such as :
- Relevance – information is needed to make significant decisions.
- Timeliness – information prompt and regular enough to be used
- Reliability – information received and being tested

#### **4.1 PERFORMANCE REPORTING**

##### **4.1.1 Elements of good performance review reporting**

4.1.1.1 Specific findings of the performance review, both positive and negative

4.1.1.2 Itemized constructive recommendations to correct problems revealed during the monitoring review process,

4.1.1.3 Corrective actions must be spelled out in specific terms, and

4.1.1.4 Focus should be on program improvement rather than criticism.

#### **4.2 THE PERFORMANCE REVIEW REPORT**

Each quarter the institutions shall review the most recent report and send to the District Offices stating the planned vs. Actual performance and the performance of progress made toward the planned performance targets in line with the following reporting period.

##### **4.2.1. Departmental reporting period**

- Institutional performance review and reporting to district –Second ( 2<sup>nd</sup> ) day after the end of the Quarter
- Districts performance reviews and reporting –Sixth ( 6<sup>th</sup> ) day after the end of the Quarter.
- Branches and Sub-Branches performance review and reporting Eighth ( 8<sup>th</sup> ) day after the end of the Quarter
- Departmental Branches review and reporting Tenth (10<sup>th</sup> ) day after the end of the Quarter.
- Monitoring and Evaluation validation and submission to HOD for approval Twelfth (12<sup>th</sup> ) day after the end of the Quarter
- Submission to the MEC for approval on the Thirteen ( 13<sup>th</sup> ) day after the end of the Quarter
- Submission to provincial Treasury, Office of the Premier and Auditor General by the fifteen ( 15<sup>th</sup> ) day after the end of the Quarter

**TABLE 1 EXHIBITS A DETAILED PROGRAM FOR SUBMISSION OF REPORTS WHICH CAN BE REVIEWED WHEN NECESSARY**

<b>TABLE 1: PROGRAM FOR SUBMISSION OF REPORTS</b>			
<b>PERIOD</b>	<b>REPORT</b>	<b>RESPONSIBILITY</b>	<b>TIME FRAME</b>
1 <sup>st</sup> Quarter report	Branches review and submit 1 <sup>st</sup> quarter performance report to Strategic Planning Policy and Monitoring	HOB's	8 <sup>th</sup> July
	The Department conducts joint performance review	Member of SMS with HOD presiding	12 <sup>th</sup> July
	Submission to the Executive Authority for approval	HOD	13 <sup>th</sup> July
	Submission to of the Premier, Legislature and Treasury and Auditor General	Strategic Planning Policy and Monitoring through the office of the HOD	15 <sup>th</sup> July
2 <sup>nd</sup> QUARTER REPORT	Branches review and submit 2 <sup>nd</sup> quarter performance report to Strategic Planning Policy and Monitoring	HOB's	8 <sup>th</sup> October
	The Department conduct joint Performance review	Members of SMS with HOD presiding	12 <sup>th</sup> October
	Quality Assurance of the report and submission to the Executive Authority for approval	HOD	13 <sup>th</sup> October
	Submission to Office of the Premier, Legislature and Treasury and Auditor General	Strategic Planning Policy and Monitoring through the office of the HOD	15 <sup>th</sup> October
3 <sup>rd</sup> QUARTER REPORT	Branches review and submit 3 <sup>rd</sup> quarter performance report to Strategic Planning Policy and Monitoring	HOB's	7 <sup>th</sup> January

<b>TABLE 1: PROGRAM FOR SUBMISSION OF REPORTS</b>			
<b>PERIOD</b>	<b>REPORT</b>	<b>RESPONSIBILITY</b>	<b>TIME FRAME</b>
	The Department conduct joint Performance review	Members of SMS with HOD presiding	11 <sup>th</sup> January
	Submission to the Executive Authority for approval	HOD	13 <sup>th</sup> January
	Submission to Office of the Premier, Legislature and Treasury and Auditor General	Strategic Planning Policy and Monitoring through the office of the HOD	14 <sup>th</sup> January
4 <sup>th</sup> QUARTER REPORT	Branches review and submit 4 <sup>th</sup> quarter performance report to Strategic Planning Policy and Monitoring	HOB's	8 <sup>th</sup> April
	The Department conduct joint Performance review	Members of SMS with HOD presiding	12 <sup>th</sup> April
	Submission to the Executive Authority for approval	HOD	13 <sup>th</sup> April
	Submission to Office of the Premier, Legislature and Treasury and Auditor General	Strategic Planning Policy and Monitoring through the office of the HOD	15 <sup>th</sup> April
ANNUAL REPORT	Branches review and submit Annual Provincial Performance report to Strategic Planning Policy and Monitoring	HOB's	6 <sup>th</sup> May
	The Department conduct joint Performance review	Members of SMS with HOD presiding	10 <sup>th</sup> May
	Submission to Office of the Premier, Legislature and Treasury and Auditor General	Strategic Planning Policy and Monitoring through the office of the HOD	13 <sup>th</sup> May
	Submission of Annual Report to printers	Strategic Planning, Policy and Monitoring through the Office of the HOD	1 <sup>st</sup> August

PERIOD	REPORT	RESPONSIBILITY	TIME FRAME
	Submission to Office of the Premier, Legislature and Treasury and Auditor General	Strategic Planning Policy and Monitoring through the office of the HOD	31 <sup>st</sup> August
	Distribution of Annual Report after tabling	Strategic Planning Policy and Monitoring through the office of the HOD	October

#### 4.2.2 KEY SUBMISSION DATES AND RESPONSIBILITIES IN LINE WITH PFMA TO RELEVANT AUTHORITIES

The PFMA allows departments a two months period after the close of the financial year to prepare the financial for audit. The reporting timetable in table 2 below:

PFMA	ACTION	PFMA	DATE	RESPONSIBILITY
s40(1)(b) (PFMA)	Reporting date	40(1) (b) see below	31/03	ACCOUNTING OFFICER
s40(1) (c)(i) & (ii) (PFMA)	Submit approved financial statements and report of the accounting officer to relevant treasury and Auditor – General ( for auditing)	40(1)(c)&(ii) (see below)	31/05 ( Final date0 ( Within 2 months after year end)	Accounting Officer
s40(2) (PFMA)	Auditor must submit Audit report to the Accounting Officer	40(2) (see below)	31/07( Final date0 ( Within 2 months of receiving the financial statement)	Accounting Officer
S40(1)(d) (PFMA)	Submission of annual report, annual financial statement and audit report to relevant treasury and the executive Authority	40(1)(d) (see below)	31/8 ( Final date ( Within 5 months after year end)	Accounting Officer



TABLE 2: PFMA REPORTING TIMETABLE				
PFMA	ACTION	PFMA	DATE RESPONSIBILITY	
S65(1)(a) (PFMA)	Executive authority to table in National Assembly or Provincial legislature Final date for executive authority to table to relevant legislature without tabling a written explanation on non-tabling Note:N1	65(1)(a) 65 (2) (see below)	31/08 ( within 1 month after the accounting officer receive the audit report 30/09 ( Final date) ( Within 6 months of the year end	Minister /MEc
Announcement, Tabling and Committee report date	No Specific deadline			Speaker
Consideration date Designated committee	Internally decided			Parliament

**4.2.3 The suggested reporting process includes the following:**

- Combination of qualitative information along with quantitative data
- When comparisons show unexpected trends or values, provide explanations, if known
- Report internal explanatory notes e.g. loss of program personnel or other resources
- Report external explanatory notes e.g. unexpected natural disaster, or political changes
- Summarize important findings
- A good results measurement system is intended to surface problems (early warning system)
- Report on performance should include explanations about poor outcomes and identify steps taken or planned to correct problems
- Give information on the status of projects, programs, and policies
- Provide clues to problems
- Creates opportunities to consider improvements in the (projects, program. or policy) implementation strategies

#### **4.2.4 Corroborating Evidence**

The report shall be accompanied by corroborating evidence at all levels and shall also include planned vs. actual expenditures and the percentage of progress toward the planned expenditure goals.

#### **4.2.5 Distribution of Reports**

Copies of the final performance monitoring report should be distributed to the following:

- General Managers
- Senior Manager
- Head of Branches
- Head of Departmental for approval
- Member of Executive Council for further approval and signing off to other authorities

#### **4.3 REPORTING FORMAT**

The format shall be in line with Annual Performance Plan and Treasury Guidelines

#### **4.4 CORRECTIVE ACTION PLAN**

The corrective action planning process shall be relatively simple; a condition or problem shall be observed and recommendations shall be provided to create improvement action plan in accordance with the following process;

##### **4.4.1 Problem Analysis**

The Department of Social Development shall take into account the following aspect that need to be considered:

##### **4.4.2 Circumstance-has the situation resulted from:**

- Lack of capability (staff competency, management practices, etc.)?
- Inadequate or unclear contract /agreement specifications?
- Policies or administration procedures?
- Insufficient funding to support required performance?
- Lack of/ poor communication?
- Combination of above factors?

##### **4.4.3 Significance - does the situation have an impact on:**

- Only the administration and / or operations of the service provider?
- Total programme capability of service provider?
- Service provider budget and resources to a major or minor degree?
- Community relationships or politically sensitive issues?
- Needed services to participants or target population
- Participants with regard to reaching training objectives?

#### **4.4.4 Consequences – will a recommended change be:**

- Possible to achieve within the agency capability and available funding without negative consequences?
- Possible within a reasonable amount of time to have significant and positive effect, or will contract termination be required?
- Achievable without causing gaps in program service?
- Essential for contract / agreement and program compliance?
- Creating a political conflict or embarrassing situation thereby further aggravating a difficult situation?
- Sufficient to create a satisfactory condition, albeit not the "ideal"?

#### **4.5 PROBLEM-IDENTIFICATION & CORRECTION**

##### **4.5.1 Problem Identification**

Problem Identification –Problem shall be identified in clear, objective and quantifiable terms

The following five steps should be taken:

Step 1: determine the desired performance level and measure the deviation from that standard

Step 2: document the existing condition that leads to this deviation

Step3: identify and document the probable cause(s) of the problem, keeping in mind that most problems are not attributable to one single factor but rather a combination of factors

Step 4: determine the relative weight or impact of each factor or factors and the possible interrelationships among them, and consider which factors are truly essential to creating a remedy for the problem, i.e., can corrective action to a minimal number of factors achieve the desired results or do all the factors need corrective action

Step 5: Identify the most critical of these factors to determine which ones are most in need of corrective action.

##### **4.5.2 Problem Correction**

The process of problem correction shall be proactive and future-oriented.

A systematic approach to problem would include the following:

- establish the objectives to be achieved by the corrective action plan
- objectives should be specifically stated and include-when possible-measurable standards, and should state what is to be done, by whom, how, when and if applicable, at what cost

- Set the priorities for the objectives of the corrective action plan, creating a list of changes that must happen vs. those that would be desirable
- Develop alternative approaches to the solutions of the problems
- Analyse and evaluate each alternative in terms of implementation time, cost (both direct and indirect), staffing, materials political implications and overall organisational benefit and
- After analysis select the best alternatives and develop the appropriate systems, training materials, commitment, and written statement of the corrective action prior to implementation of any plan.

#### 4.5.3 Corrective Action Plan Implementation

- All branches, sub branches, Divisions and Programs shall have 30 days from the date that the monitoring report becomes final to implement any correctives plan required to comply with the monitoring report recommendations
- The implementation shall be closely monitored for its effectiveness as well as to watch for unintended consequences of the plan
- A decrease in the deviation from the original program standards or goals shall be the best measurement of how effective the corrective action plan is
- Monitoring of progress shall be carried out by Monitoring and Evaluation Division.

  
.....  
Head of Department: Social Development

18/10/2011  
.....  
Date

