



Custodian of Good Governance

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EVOLUTION OF
**MONITORING AND
EVALUATION**
IN THE SOUTH AFRICAN PUBLIC SERVICE

VISION

A champion of public administration excellence in democratic governance in South Africa.

MISSION

To promote the constitutionally enshrined democratic principles and values of the Public Service by investigation, research, monitoring, evaluating, communicating and reporting on public administration.

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FROM THE DESK OF THE **CHAIRPERSON**



Mr Ben Mthembu
Chairperson: Public Service
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Welcome to the sixth edition of the PSC News. I hope that this issue will be an exciting read, as it touches on the most important tool that is used to assess the performance of the Public Service in terms of the nine Constitutional values and principles governing public administration, i.e. monitoring and evaluation. Aptly titled: *The Evolution of Monitoring and Evaluation in the South African Public Service*, this edition attempts to acknowledge the strides made by government departments in achieving their strategic goals through the use of monitoring and evaluation (M&E) as a tool.

Indeed, M&E has evolved and institutions have begun to appreciate its value as an accountability mechanism. Over the years, the Public Service Commission (PSC) has been leading and playing a key role in the promotion of M&E in the Public Service, country and beyond our borders. A case in point is the creation of the PSC Transversal M&E System which has been operational since 2001. This system has influenced

M&E in departments. In order to ensure that the work of the PSC in the area of M&E also evolves, the PSC is in the process of reviewing the system so that it is further strengthened and remains relevant and useful to its clients. The PSC has also played a key role in the establishment of the South African Monitoring and Evaluation Association (SAMEA). The SAMEA is an organisation which strives to cultivate a vibrant community that will support, guide and strengthen the development of M&E as an important discipline, profession and instrument for empowerment and accountability in South Africa. Similarly, in 2004, the PSC co-hosted the 3rd African Evaluation Conference (AfrEA), which drew together over 400 M&E practitioners from the continent, representing 61 countries to discuss pertinent issues on M&E, including the latest developments in evaluation in Africa.

The PSC is encouraged by the emergence of M&E role players in the Public Service, notably the Department of Performance Monitoring and Evaluation in the Presidency. Government has also adopted an outcomes-based approach which has a strong emphasis on the value of M&E in achieving service delivery. This is the reason we deemed it expedient to put the spotlight on some of the remarkable work done by these departments in the area of M&E. We are also encouraged and are appreciative of the contribution made by the broader M&E community in ensuring that M&E is a central tool for government.

I would like to encourage the M&E community and the Public Service to use PSC News as a platform to communicate with us and the entire Public Service on issues pertaining to good governance in the Public Service.

FROM THE DESK OF THE EDITOR



Mr Humphrey Ramafoko
Editor: PSC News

Monitoring and evaluation remains a priority in guiding the transformation of the Public Service into an effective institution that delivers on the objectives of Government. This is evidenced by the establishment of the Department of Performance Monitoring and Evaluation in the Presidency, led by Minister Collins Chabane. Likewise, President Jacob Zuma's assertion in his State of the Nation Address on 10 February 2011 that: "our Monitoring And Evaluation Department will co-ordinate and monitor the work of government departments closely, as they mainstream job creation", further shows the importance of M&E in ensuring a performance-oriented Public Service. The PSC on the other hand continues to make extensive contribution in the area of M&E in the South African Public Service and internationally. The notable contribution by the PSC, include among others, the development of a Transversal M&E System.

It is against this background that the PSC deemed *The Evolution of Monitoring and Evaluation in the South African Public Service* as the theme for this edition of the PSC News.

We kick-start this edition by reflecting on the PSC's Transversal M&E System under the topic: **The Public Service M&E System – coming of age**. This article takes a closer look at the evolution of M&E in the South African Public Service and the role played by the PSC in this area. The article also touches on the

PSC's own approach to M&E, as well as challenges experienced over the past decade.

The second article focuses on **the Presidency's outcome-based monitoring and evaluation system**. In this article, Dr Sean Phillips, Director-General at Department of Performance Monitoring and Evaluation in the Office of the Presidency, addresses various outcomes-based monitoring and evaluation weaknesses, including the lack of strategic focus in government, difficulties with inter-departmental and inter-governmental co-ordination. Dr Phillips also reflects on Delivery Agreements and the monitoring and implementation thereof.

In another article, Ms Candice Morkel, Chairperson of the South African Monitoring and Evaluation Association and Senior Manager: Monitoring and Evaluation Policy and Governance Branch at the Office of the Premier, Eastern Cape Province, highlights **the role of SAMEA in supporting M&E in South Africa**.

In an attempt to enhance planning and budgeting, government has introduced initiatives that will disclose and strengthen **the relationship between planning and budgeting, as well as monitoring and evaluation in the Public Service**. Ms Euody Mogaswa, Director: Budget Reform and Ms Edeshri Moodley, Director: Provincial Performance Management at the National Treasury examine these relationships. Ms Tini Laubscher, Senior Technical Specialist: Audit Research and Development at the Auditor-General of South Africa, on the other hand, scrutinises **the relationship between auditing, monitoring and evaluation in the Public Service**.

The PSC is required by the Constitution to evaluate the state of public administration and make recommendations on how to improve it. In its article titled: **Making a case for meta-evaluation**, the PSC highlights its experience with the Meta-evaluation in the Public Service. In another article titled: **The development and implementation of a monitoring and evaluation system – a case study in the North West Province**, Mr Tsietsi Mawelela, Director:

Monitoring and Evaluation at the Office of the Premier, North West, highlights the progression of M&E in the North West Provincial Government.

We also take a closer look at an article on **Building a results-based monitoring and evaluation system for the Western Cape Province of South Africa**. In this article, Ms Zeenat Ishmail, Chief Director: Strategic Management Information at the Office of the Premier, Western Cape Provincial Government reflects on the Western Cape Province's M&E System and how it is used to measure performance in the province.

We conclude this edition with an article on **Building a compliance monitoring system to promote good governance in the Public Service**, Ms Ledule Bosch, Chief Director: Public Sector Monitoring and Evaluation at the Department of Public Service and Administration (DPSA) highlights the new mechanisms which have been set up by the DPSA to address and promote good governance in the Public Service.

We hope that readers will find this issue reader-friendly, entertaining and informative. Happy reading, till next time!!

PUBLIC SERVICE MONITORING AND EVALUATION (M&E) SYSTEM – COMING OF AGE



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Introduction

The growth of monitoring and evaluation, as it is referred to in South Africa, mirrors the global thrust for greater transparency and accountability around all institutions that deal with public or private goods and services. The various global crises that have emerged around governance, defined herein as “appropriate and accountable behaviour”, in both the corporate and public sector, reflects some failures in the governance of particular entities. The repercussions for such failures, as we have witnessed, are far-reaching and serious. This places a particular burden on M&E, which is supposed to demonstrate a strong predictive (and directive) capacity by being able to identify problems timeously, and ensure that findings and recommendations are directed to the appropriate levels before crises are experienced.

Furthermore, it is no longer acceptable to take for granted that the Accounting Officers would naturally demonstrate accountable behaviour, as democracy dictates that a form of probity is always required, and M&E assumes this responsibility. The M&E seeks to

ensure that democratic ideals are indeed practiced, and through its independence, critical for M&E, should provide credible and useful information to decision-makers and stakeholders on policy, programmes and projects. The PSC plays a pivotal role in promoting good governance in South Africa, as it is constitutionally mandated to conduct its work without “fear, favour or prejudice”, and in a manner that is “independent and impartial”, all with the express purpose of ensuring sound governance.

Locating M&E within the global discourse for accountability

The PSC began operationalising its M&E mandate in 1996, and used the nine values and principles of public administration, also enshrined in the Constitution. The nine values are the South African definition of “good governance”, and are used to execute the PSC’s oversight function of performance against established benchmarks. Through the M&E undertaken by the PSC, there has been an entrenchment of democracy. The evaluation work has increased transparency and accountability of government, and the country at large is kept informed about government’s performance. Similarly, the thrust towards evidence-based decision-making has gained momentum, and the production of performance information has created knowledge repositories for more effective developmental management. The PSC’s Transversal M&E System is also transformational in the sense that it explicitly seeks to measure the impact of the policies of the developmental state on reducing inequality and improving efficiency.

The PSC M&E approach – a system of systems which seeks to address diverse societal, management and other needs

This approach has resulted over the past decade in a range of credible evaluation products being institutionalised in the country to address various

needs. As a system, the oversight programme of the PSC has become a leading example internationally of effective oversight. This is evidenced by the use of the PSC as a case study in the renowned International Programme for Development Evaluation Training (IPDET)¹ since 2008.

As an oversight entity, the PSC has different focal areas, enjoined by the common purpose of ensuring transparency and accountability, as it views M&E as an overarching strategy for improving performance. Furthermore, it employs legitimate and reliable methodologies, and subscribes to principles and practices that are similar to the codes of practice of the evaluation profession. Over the past decade the PSC has actively engaged its evaluation products, with users and interested parties, with a view to produce high quality and relevant oversight information that supports the developmental state in its transformational objectives. The fact that the PSC has co-hosted three successful biennial conferences with the South African Monitoring and Evaluation Association (SAMEA), and

engages proactively with the international evaluation community through bodies such as the International Development Evaluation Association (IDEAS) and the African Evaluation Association (AfrEA), attests to its commitment to learning and sharing evaluation results. In practice, the PSC has developed internal M&E capacity around the following focal areas:

- Integrity and anti-corruption
- The performance and evaluation of senior management leadership
- Human resources policy and practices reviews
- Departmental performance
- Service delivery assessments
- Compliance evaluations
- Grievance management.

The PSC takes the view that each of the above is a component of overall effective government performance, and as such each area requires tracking, monitoring and evaluation systems.

Table 1: The focal areas showing performance perspective

Perspective	Focal area	Methods to gather and reflect performance
Citizen perception of performance	Key beneficiaries of services and voters	National Anti-Corruption Hotline
		Citizen forums
		Inspections <i>Batho Pele</i> surveys
Departmental performance	Is policy effectively implemented?	Reports of the Auditor-General
		Scrutiny of the annual reports
		PSC Governance Assessment
Leadership performance	The quality of department leadership	Heads of Department (HoD) evaluations
Human resources (HR) management	Pivotal resource for service delivery	HR reviews
		Grievance adjudication

The "Governance Score Card" is thus one of the systems used by the PSC.

¹ www.idpet.com

The M&E of the quality of governance in government departments – Departmental Governance Barometer

This system is referred to by the PSC as the Transversal Public Service M&E System, which in essence is one of several M&E Systems used by the PSC. This particular system may be viewed as a barometer of departmental performance against the nine values and principles for public administration, forming the framework or lens for assessment. It may be viewed as a departmental barometer in that it tests performance against pre-determined indicators and standards, and has the following features, as seen in **Table 2**, that make it a worthwhile instrument for transparency and accountability.

Rationale for focal area

This system and analysis focuses on the performance of individual national and provincial government departments. It is widely recognised that the performance of the Public Service, through its individual government departments as administrative centres, has a major impact on the performance of

the country. It is within government departments that policy is translated into programmes, budgets are developed and expended, and service delivery is directed. It is also within these departments that public servants are located and managed. The manner in which policy, budget and resources are aligned in terms of producing public goods is dependent on the quality of governance within a particular department and this is the focus of the PSC's Transversal M&E System. In this light, it is important to note that the National Planning Commission recently also deemed it important enough to undertake a comprehensive diagnostic study of "Institutions and Governance". The approach by the Presidency on its Performance Assessment Tool (PAT) is yet another attempt to bring in credible and objective criteria to assess the critical engine of transformation in government departments.

System description and evaluation process

The PSC's Transversal M&E System assesses, on an annual basis, the actual performance of a department against a set of indicators and standards for each Constitutional Value and Principle (CVP) listed in section 195 of the Constitution. A rating scale is

Table 2: Quality of governance in government departments – Departmental Governance Barometer

Evaluation element	Depiction within the Governance Barometer
Explicit methodology	The system is based on policy, with indicators and standards rooted in legislation and law. There is an objective rating system, which means that it can be replicated, which produces both quantitative and qualitative information.
Participatory process	The system emphasises engagement with assessed departments, with several opportunities provided for engagement with the instrument, process and interim reports. It is not meant to be punitive, but rather promote learning and transparency. The presentation of draft findings for a management response is indicative of the desire to solicit decision-maker support.
Directional	The system offers recommendations, and is also directional in terms of Section 195 of the Constitutional values and principles, as well as for the indicators and standards for the assessment of these values and principles. It thus seeks to promote good governance, as each element of the nine values and principles for public administration is a desirable goal, which contributes to the overarching attainment of good governance.
Transversal	The public sectors comprise over 150 departments, and the system has been implemented across national and provincial spheres of government. This allows for comparisons in performance to be made, and thus share best practice.
Dynamic	The system addresses specificity, by addressing particular mandates and allowing for thematic evaluations to be undertaken.

linked to each of the standards so that a score can be awarded for the performance of a department as measured against the standards. This has enabled the PSC to establish a baseline and provide trends in performance over time. The rating scale, consisting of five performance bands, is set out in **Table 3** below.

Since the same indicators are used year after year, the performance of a sample of departments in a specific year can be compared with the samples of previous years. Similarly, departments can be compared with each other, and a department's performance can be compared with its own performance in a previous year when that department comes up for re-assessment.

Evidence about the actual state of practice for the nine CVPs is obtained by collecting and assessing policy and other documents, conducting interviews with samples

of relevant persons and assessing qualitative and quantitative data according to templates and measures. By analysing the evidence against the indicators and standards, a report for a department, which provides a sense of the status of the quality of governance of a department across the nine performance areas as evident in the CVPs, is ultimately produced.

The process used in implementing the PSC's M&E System aims to promote collaboration and partnership with departments. In this approach, communication throughout the cycle is important, starting from the initial process whereby the system is introduced to top management, engaging them on interim findings and finally presenting a report with recommendations to the management forum of the department. Departments are then provided with the opportunity to comment and give additional input on

Table 3: Rating scale, consisting of five performance bands

Performance band	Score description	Score	%
5	Excellent performance against all the standards	4,25 – 5,00	81% – 100%
4	Good performance against most of the standards	3,25 – 4,00	61% – 80%
3	Adequate performance against several of the standards	2,25 – 3,00	41% – 60%
2	Poor performance against most of the standards	1,25 – 2,00	21% – 40%
1	No performance against all the standards	0,25 – 1,00	0% – 20%

(The detailed assessment framework is available on the PSC's website: www.psc.gov.za).



the draft report. The process of engaging with the senior management of departments is also meant to bring managers into the evaluation process, and thus improve their own capacity in M&E.

In the process, the principles of transparency and accountability are promoted and ensures better co-operation from departments. Departments, which are subjected to the system, should emerge as more self-critical and reflective.

Application of the system – quantitative overview over a period

Since the inception of the M&E System in 2001, the PSC has assessed 153 departments, 35 of which were national departments and 118 provincial departments. Of the 135 departments assessed, 36 departments were assessed for a second time, seven of which were national and 29 were provincial departments. Refer to the **Table 4** below for details. **Figure 1** below reflects the trends in performance over the period 2000 to 2011 of these departments.

The PSC produced seven consolidated M&E Reports of which six were printed and presented to Parliament. In 2010, an emphasis change took place and the PSC for the first time produced a provincial (North West) and sector specific (Human Settlements) Consolidated

M&E Report. This trend continued in 2011 where a Consolidated M&E Report on Agriculture and Offices of the Premier is being produced.

Scoring system and results obtained

Changes in methodology led to a drop in scores in 2005/2006. From then, the methodology was consistently applied by the PSC and the trend from 2005/2006 onwards represents real improvements in performance – as depicted in **Figure 1** on the following page. The robustness of the system is attested to by the fact that there are not many unexplained variations in performance.

For comparison purposes, departments were ranked against the standards for each principle and categorised as follows:

- Non-performing: 0% – 19%
- Inadequate performance: 20% – 59%
- Adequate to excellent performance: 60% – 100%.

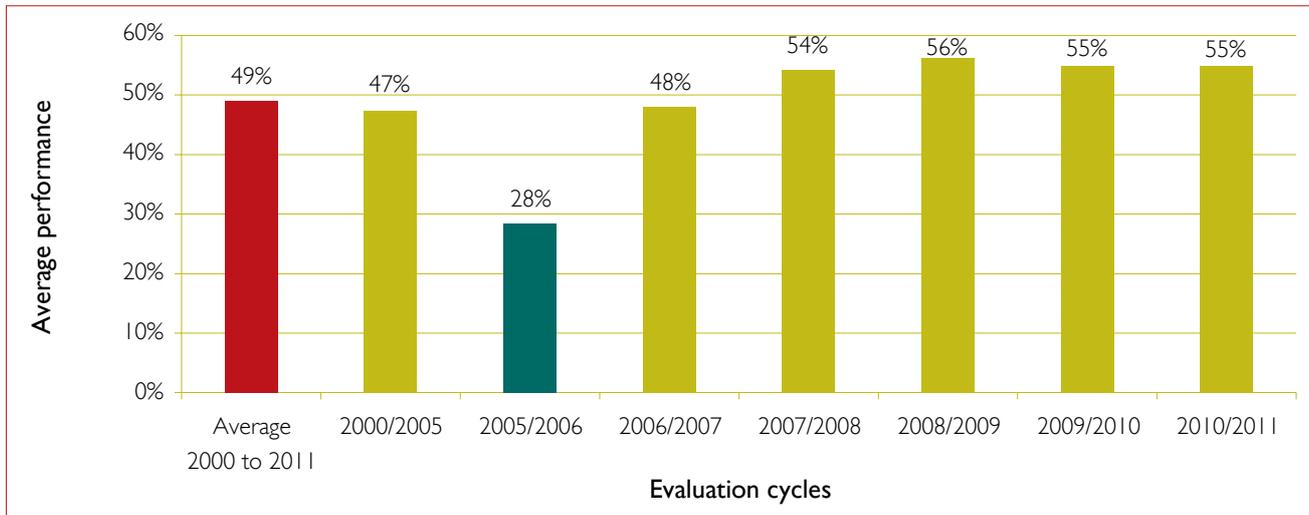
The performance of departments improved incrementally from 28% in 2005/2006 to 56% in 2008/2009, and then fell back to 55% for the 2009/2010 and 2010/2011 assessment periods, but it remains at an inadequate level.

Table 4: Departments assessed

National/Provincial Departments	Total	Total Reviewed
National Departments	35	7
Provincial Departments		
Eastern Cape	11	1
Free State	8	1
Gauteng	14	3
KwaZulu-Natal	10	1
Limpopo	14	3
Mpumalanga	13	2
Northern Cape	11	2
North West	25	14
Western Cape	12	2
Total	153	
Total Reviewed		36

Performance trends identified

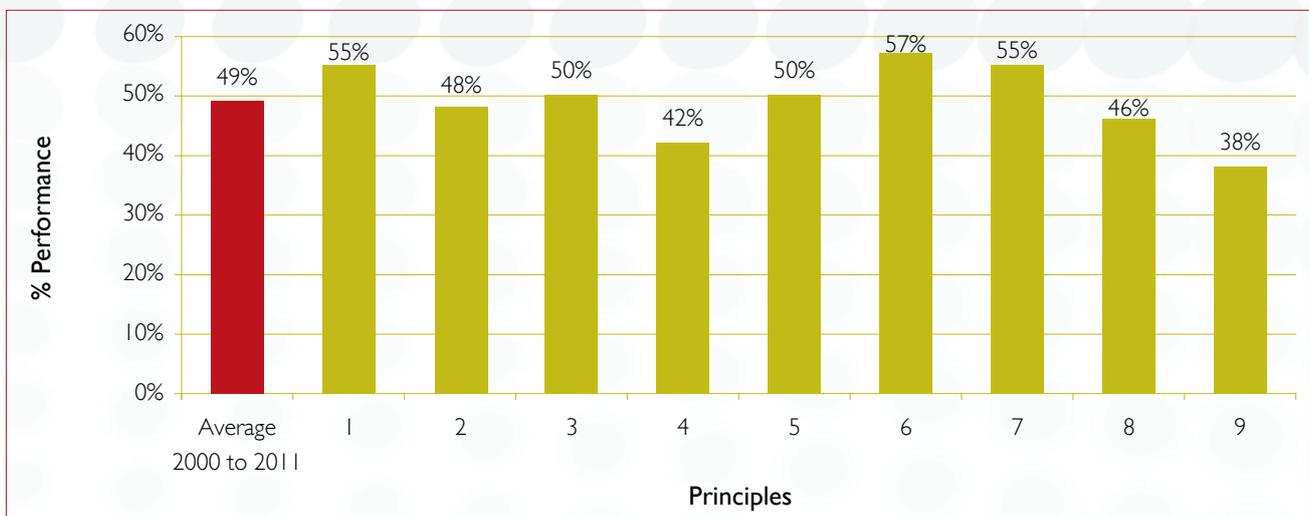
Figure 1: Trends in average performance against all the principles over the period 2000 to 2011



Although the result of an overall average performance of 49% indicates that departments do comply with the most basic administrative practices, the PSC is concerned that despite the sizable sample of 153 departments evaluated over the past ten years, they could not reach a level of adequate to excellent performance (above 59%). The performance at these levels indicates that departments have not yet managed to move beyond bare compliance levels, indicating that larger, strategic issues are also unlikely to be addressed. When looking at performance per principle, the same trend emerges.

The overall performance of departments for the period 2000 to 2011 per principle was inadequate (49%) in all the principles (Figure 2 below). The performance in five of the nine principles, namely, professional ethics (principle 1), development oriented public administration (principle 3), public participation in policy-making (principle 5), accountability (principle 6) and transparency (principle 7) varied between 50% and 57%, which is still inadequate. This slightly better performance can be attributed to specific guidelines and requirements issued by the National Treasury (NT) and the Department of Public Service and Administration (DPSA) on four of the principles.

Figure 2: Trends in overall performance per principle over the period 2000 to 2009



However, considering the availability of clear guidelines on principles 1, 6 and 7, departments by now should have performed much better against the standards for these principles.

The performance in the remaining four principles is below the overall average of 49% and varied between 38% for principle 9, which focuses on representivity and diversity management, and 48% for principle 2 (efficiency, economy and effectiveness), 42% for principle 4 (impartiality and fairness), and 46% for principle 8 (human resource management and career development practices).

A performance rating below 60% is indicative of inadequate performance. The main areas of poor performance are, for example –

- Not reporting in the annual report against measurable objectives set in the Strategic Plan (principle 2)
- Long recruitment times (principle 8)
- Planned skills development activities that are not implemented (principle 8)
- Representivity targets that are not met (principle 9)
- Diversity management that did not get the necessary attention (principle 9).

The results of departments' inadequate performance in the above-mentioned areas are the following:

- By not reporting strictly against pre-set objectives, the principle of accountability for the achievement of specific, agreed, pre-determined objectives is violated
- Poor performance in the area of recruitment and skills development negatively affects service delivery, in that the wrong people are employed and current employees are not adequately capacitated
- Not meeting representivity targets, especially in terms of gender and disability, sends a signal that the Public Service is unable to adhere to its own requirements, whilst demanding this from the private sector. The same applies to diversity management issues.

Challenges experience over the past decade

The PSC's Transversal M&E System needs to be reviewed from time to time to keep it as relevant and as useful to its users as possible, and to improve the quality of the evaluations produced by the system. Specifically, the review of the system was prompted by the following challenges:

a) A compliance bias

The system has placed too much emphasis on compliance. The system should strive to achieve the right balance between service delivery performance and governance indicators.

b) Standardised methodology and inability to address specificity

The methodology used by the PSC was not always robust enough. For instance, in testing whether the requirement that the development programmes and projects of departments should be aligned with Integrated Development Plans at local government level, the PSC relied on the response of departmental managers interviewed, without analysing the planning processes that should have produced the alignment.

c) Data limitations and the implications of data reliance

Data was not always accessible and reliable. The system should, therefore, strike the right balance between using departmental sources like the annual report, and our own independent data collection. Departmental data bases and other administrative records and statistics, in addition to published sources, will have to be used to a greater degree, but this data is less accessible. Information used in Principles 2, 6 and 7 was based on data applicable to previous financial years. Participating departments, as a result, found the information to be out of date and less relevant.

d) Inability to capture external data and other information sources

Delivery orientated sectors such as health, housing, education and agriculture introduced mandatory core performance reporting measures. These reporting requirements needed to be incorporated into the framework where appropriate. The same applies to reporting on key government outcomes that will soon be required by the Presidency.

The system treated all departments the same, with the result that indicators were not always appropriate in relation to the distinct roles of departments. An example here is the different application of the principle of development orientation to policy departments in comparison to departments that actually implement development projects.

The current system focused on individual departments, limiting the extent to which inferences can be made with regards to higher level policy outcomes.

Elements of the revision of the system and processes

The system has undergone major revision. However, the aim of the review was not to finally solve all the mentioned problems, but to adjust the current system, considering the challenges, and to make it as relevant and useful to its users as possible, and to improve the quality of the evaluations produced by the system. Specific practical objectives that were considered to be achieved were to:

- Assess the relevance² and validity³ of the indicators and standards, in order to determine which

indicators should be retained, extended or excluded

- Adapt the framework to accommodate the different roles and functions of different types of national and provincial departments, including policy/regulatory departments, service delivery departments and departments serving other departments. This means that the indicators should be appropriate in relation to the function that the department fulfills
- Incorporate sectoral core performance measures, which reflect service delivery priorities
- Re-assign the scores and weightings assigned to some standards to reflect their proportional importance
- Develop explanatory concepts for all the standards, which will allow for a uniform interpretation of the system's terminology and concepts
- Improve the flow and integration among principles that are not mutually exclusive, such as principles 2 & 6 and 3 & 5
- Shorten the report and design it for reader impact
- Improve the evidence base of the system, which means that sources of evidence that are easily accessible should be identified for all standards. All the evidence should be captured in a pre-designed Excel spread sheets with pre-set formulas for all calculations
- Improve the recommendations by developing implementation guidelines (over time) and identifying underlying reasons for not meeting standards.

Conclusion

The system will continue to be revised in order to ensure that it meets the objectives of improving evidence-based decision making.

2 With relevance is meant that the indicator relates to the concerns of key stakeholders of the PSC and to the priorities of government.

3 With validity is meant that an indicator is chosen that says as much as possible about performance against the constitutional principle. It means that there should be a good relationship between the indicator and the broader principle, so that good performance as measured against the indicator correlates with good performance against the principle.

THE PRESIDENCY OUTCOME BASED MONITORING AND EVALUATION – OUR APPROACH



Dr Sean Phillips

Director-General: Department of Performance Monitoring and Evaluation, Office of the Presidency

The President of the Republic of South Africa established the Department of Performance Monitoring and Evaluation (DPME) in the Presidency to, among others, introduce the outcomes approach to detail planning, implementation and monitoring and evaluation; promote monitoring and evaluation in government; monitor the performance of individual national and provincial departments and municipalities; and monitor frontline service delivery.

The outcomes approach

In the second decade of democracy, the focus has shifted to putting concerted effort into improving and driving service delivery implementation. One of our key initiatives to improve the performance of the State is the introduction of the **outcomes approach**, which is aimed at addressing various weaknesses, including the lack of strategic focus in government, difficulties with inter-departmental and inter-governmental coordination, the tendency towards working in silos, a lack of rigour in planning and weaknesses in implementation.

The outcomes approach is a transformation initiative

which is geared towards changing the way government works. It aims to improve service delivery by getting different departments and spheres of government to work together to produce plans or delivery agreements for priority outcomes, linking inputs and activities to outputs and outcomes and providing targets and timeframes. Of significant importance the outcomes approach seeks to promote *joint-up* government, and places emphasis on the need to integrate in planning, budgeting and monitoring and evaluation.

The outcomes approach entails, among others, introducing whole-of-government planning linked to key outcomes; clearly linking inputs and activities to outputs and the outcomes; implementing the constitutional imperative for cooperative governance by negotiating inter-departmental and inter-governmental delivery agreements for the outcomes; increasing strategic focus of government (outcomes are deliberately limited in number, enabling increased strategic focus on critical issues. Outcomes focus on key areas requiring improvement. This does not mean that other government work not directly related to the outcomes should be neglected – other work is captured in strategic plans of departments and IDPs of municipalities) and making more efficient and effective use of resources by introducing systematic monitoring and evaluation (carrying out periodic evaluations of the impact of government's work on the outcomes, and analysing results to inform government policy making process and decisions).

Political accountability

One of the elements brought about by the adoption and implementation of the outcomes approach has been the introduction of political accountability. The President has placed emphasis on the need for political accountability on service delivery by signing Performance Agreements with Ministers, committing

them to delivering on government priorities for the electoral cycle. The political accountability cascades down into the administrative accountability system. Departments have been requested to ensure that their departmental strategic plans reflect their commitments in the Delivery Agreements. These commitments will also be reflected in the Performance Agreements of officials.

Delivery Agreements

In 2009 government translated the five priorities of the African National Congress (ANC), namely; creation of decent work and sustainable livelihoods, education, health, rural development, food security and land reform and the fight against crime and corruption, into ten priorities in the Medium Term Strategic Framework (MTSF).

In January 2010, Cabinet then adopted and approved 12 priority outcomes based on the MTSF priorities, namely:

- **Education:** quality basic education
- **Health:** a long and healthy life for all South Africans
- **Safety:** all people in South Africa are and feel safe
- **Employment:** decent employment through inclusive economic growth
- **Skills:** skilled and capable workforce to support an inclusive growth path
- **Infrastructure:** an efficient, competitive and responsive economic infrastructure network
- **Rural:** vibrant, equitable, sustainable rural communities contributing towards food security for all
- **Human settlements:** sustainable human settlements and improved quality of household life
- **Local government:** responsive, accountable, effective and efficient local government system
- **Environment:** protect and enhance our environmental assets and natural resources
- **Internal and external relations:** create a better South Africa, a better Africa and a better world
- **Public Service:** An efficient, effective and development oriented Public Service and an empowered, fair and inclusive citizenship.

Detailed implementation plans or Delivery Agreements for each of the 12 outcomes were developed by stakeholders who needed to work together to achieve the outcome. Departments are now focused on implementing the Delivery Agreements.

The delivery agreements themselves are a major achievement – this is the first time that we have had outcomes-oriented implementation plans which cut across government departments and spheres of government.

Monitoring of the implementation of Delivery Agreements

The implementation of the Delivery Agreements are monitored by Implementation Forums, which are usually either joint meetings of Ministers and provincial Members of the Executive Councils (MinMECs) or Clusters. The Implementation Forums oversee the implementation of the delivery agreements by focusing on key progress and challenges, and facilitating the unblocking of obstructions in the implementation process. The Department provides Cabinet Committees with independent assessments of progress on the implementation of delivery agreements. The Cabinet reviews the progress reports and unblocks key obstructions to making progress with the achievement of the outcomes.

Performance monitoring of departments and municipalities

The Department, in collaboration with other centres of government departments, developed a Management Performance Assessment Tool (MPAT). The primary objective of the tool is to measure the efficiency and effectiveness of departments' and municipalities' management practices. The theory of change behind this is that if management practices are effective and efficient, they should lead to the achievement of outcomes. The Department will lead performance assessments of national departments using the tool. Offices of the Premiers will undertake the performance assessments of provincial departments. Offices of the Premiers and provincial departments of local government will assess municipalities.

Frontline Service Delivery (FLSD)

The Department has recently developed a framework for frontline service delivery. As with all monitoring and evaluation, the underlying purpose of frontline service delivery monitoring is to facilitate improvements in service delivery. The differentiating characteristic of FLSD is that it focuses on monitoring the experiences of citizens when receiving Public Services. It therefore, allows for a bottom-up analysis of service delivery from the point of view of citizens. The programme is carried out in collaboration with Offices of the Premiers, departments, municipalities, and citizens.

The overall purposes of FLSD are: (1) to enable the Department and other relevant line function departments to facilitate interventions to address identified weaknesses, where possible; (2) to enable the members of the Executive and DPME officials to keep in touch with ground-level issues; (3) assist DPME to collect data on service delivery at local level and; (4) to identify and give recognition for good FLSD practice.

The FLSD has three components, namely; (1) visits by officials in DPME and the Offices of the Premiers to service delivery points to assess the state of FLSD; (2) develop a structured approach for citizen-based monitoring of FLSD; (3) executive visits: visits to an area or an institution by a member of the President, Deputy President, Minister or Deputy Minister, accompanied by officials.

Conclusion

Good progress has been made in implementing the outcomes approach. Frameworks for institutional performance monitoring and evaluation and FLSD are in place. There is, however, a lot of ground to be covered in institutionalising the concept of monitoring and evaluation in government. Like most countries that are implementing performance monitoring and evaluation, we are in the process of learning. With the necessary support from all stakeholders, over time, we will develop the system in order to effectively improve performance in government.



THE ROLE OF SAMEA IN SUPPORTING MONITORING AND EVALUATION IN SOUTH AFRICA



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Introduction

Almost six years since the official launch⁴ of the South African Monitoring and Evaluation Association (SAMEA), it is entirely appropriate that the question is asked (and answered) as to the role of SAMEA in strengthening M&E in the country. A number of critical global and local events have increased the demand for robust systems to track progress, improve accountability and demonstrate the achievement of citizen-centred results in development, not least of all within the public sector. The strengthening of democracy in South Africa has been accompanied by a more informed and discerning citizenry, such that subjective reporting against outputs or expenditure is no longer acceptable. What is demanded, instead, is the realisation of the needs, aspirations and development results that accrue as benefits to the South African population as outcomes of public spending and service delivery interventions. The ripple effects of the

global economic crisis on development funding (both State and donor-linked) has meant that we have to do more with less, and demonstrate this unequivocally.

This article explores how SAMEA can effectively support this mandate in order to bring about change in the lives of those in greatest need of development in South Africa.

Growth in public sector M&E and the role of SAMEA

Significant growth in M&E has been observed in the public sector since 2004, when the need for M&E in strengthening governance was first raised as a priority for the country in the State of the Nation Address by then President Thabo Mbeki. Since then, various legislative and policy mandates have been defined in order to set the parameters for the implementation of M&E throughout the country. In addition, public sector oversight mechanisms in South Africa such as the Audit of Pre-determined Objectives (AoPo) as provided for in the Public Audit Act (2004) have accelerated over the past two years, placing further pressure on the South African government not only for efficient and effective resource utilisation, but also to succeed in improving its capacity to plan for and execute its service delivery mandate. The blurring of the lines between fiscal governance, policy development, planning and M&E has brought about a realisation that the development imperative – now more than ever – requires greater integration and cross-functional support.

The relative newness of the prioritisation of M&E in the public sector in South Africa means that there is a need to build the technical capacity of the State to perform planning and M&E functions. The role of the

⁴ SAMEA was founded in November 2005 as a non-profit (section 21) association. The association is governed by a board of directors.

SAMEA in supporting the development of M&E in the public sector has not yet been fully explored, even though the environment would greatly benefit from the global and local expertise that exists within SAMEA, as well as its unique position as the only internationally recognised South African Association of Professional M&E Practitioners in the country. Consideration needs to be given to innovative means of partnering with the public sector in order to maximise the symbiosis that is needed to both improve M&E in this sector, as well as widen the influence of the association throughout the country.

The role of evaluation associations and SAMEA in supporting M&E

National and regional evaluation associations can be a good entry point for identifying and mobilising local capacities, including evaluation departments in governments and inter-governmental M&E Group SA⁵. In bridging the M&E capacity gap, there is a need to develop local talent and national expertise in M&E, and an evaluation association such as SAMEA is a critical point of leverage for this in the country. Support from global evaluation associations and networks in creating or strengthening national, provincial and local M&E policies and programmes are also areas that require further exploration. However, in bridging the gap between the demand environment (which is currently largely, but not exclusively, public sector-based in South Africa) and SAMEA, it would be important to avoid assuming there are weak evaluation capacities throughout the system, even if none is immediately apparent. Ideally, an assessment of the capacity environment should be based on current facts rather than assumptions, since existing capacities are often underutilised or hidden due to low demand from management or accountability systems that are not yet matured (ibid).

The objectives that drive the work of SAMEA in building capacity of evaluators in the country and generally supporting the enhancement of M&E were defined out of a participatory approach. In crafting the SAMEA vision, mission and objectives, feedback

was invited from the South African Community of Evaluators and interested parties through a public stakeholder workshop and an online need survey. Informed by this input, the task team initially, involved in forming the association, packaged and distilled these to delineate the following objectives of SAMEA, which exists to:

- Provide a platform for interaction and information sharing among all those interested in M&E
- Promote high quality intellectual, ethical and professional standards in M&E
- Increase the use of M&E theory and practice
- Promote the development and adoption of M&E approaches and methods suitable to a South African and development context
- Promote post-graduate education and continuing professional development in the field of M&E
- Increase the profile of South African M&E at national and international level
- Help build understanding of international developments and trends in M&E
- Be a resource on M&E in South Africa.

The association has been more successful in some of these objectives than others – for example, the discussion on the development of professional standards for M&E has proven more complex than originally anticipated and SAMEA continues to generate debate towards developing a common understanding and approach towards the “professionalisation” debate in South Africa. In September 2010, for example, SAMEA hosted a professional workshop and panel session on this subject, with international and local guest speakers providing inputs for discussion.

The life-cycle of evaluation associations and delineating the role of SAMEA

It is believed that there is in excess of 110 evaluation associations/networks presently in the world, most of which were established after the year 2000. While these are all at various levels of maturity, all associations are said to progress through four

5 UNICEF, 2010.

Table: 5: On the role of evaluation associations and networks in the professionalisation of evaluation (ibid.)

<p>1st generation:</p> <ul style="list-style-type: none"> • Aims at creating an awareness • Rallies providers and users of evaluation • Creates a community of “evaluophiles” • Facilitates professional exchanges • Offers informal apprenticeship 	<p>2nd generation:</p> <ul style="list-style-type: none"> • Demystifies evaluation • Fosters harmonisation of concepts et tools • Allows an ownership of evaluation approaches and techniques • Offers basic training in evaluation • Rallies a community of practitioners and users of evaluation
<p>3rd generation:</p> <ul style="list-style-type: none"> • Promotes the good use of the evaluation function via the sharing of real life experiences • Fosters the quality of evaluation products • Facilitates working groups on new themes offering a challenge to evaluation practice (R&D) • Provides methodological guides • Sets norms and standards • Offers specialised training in evaluation 	<p>4th generation:</p> <ul style="list-style-type: none"> • Assumes a normative role • Sets a code of conduct for evaluators • Identifies professional competencies • Offers a competency-based training program • Rules and bestows professional designations

“generations” of development, as described by Quesnel in a November 2010⁶ webinar on the Role of Evaluation Associations and Networks in the Professionalisation of Evaluation (ibid.). These are outlined above.

Adapted from Quesnel (2010)

An arbitrary assessment of SAMEA and where it is along this continuum would place it somewhere between being a first and second generation association. Over the past six years, the association has been successful at being a central point of convergence for the sharing of information, building a relatively strong national network of M&E professionals, building capacity amongst its members and beyond, and being the only formal rallying point for the South African evaluation community. SAMEA is yet to mature into a third and fourth generation association, where it can begin to set parameters for and give credence to the quality of evaluation products, provide methodological guides, and lead research and development initiatives in improving the theory and praxis of M&E.

Conclusion

Quesnel⁷ (undated) in *The Importance of Evaluation Associations and Networks* makes the following significant observation:

“Evaluation associations play a crucial role from the local to the international level in evaluation capacity development. For example, one should not underestimate the influence that the Washington Research and Evaluation Network and the Ottawa Chapter of the Canadian Evaluation Association had in the strengthening of the evaluation function in their respective capitals and by extension on the development of their national evaluation systems and the governmental use of evaluation by the legislative and executive.”

SAMEA⁸ strives to cultivate a vibrant community that will support, guide and strengthen the development of M&E as an important discipline, profession and instrument for empowerment and accountability in South Africa. Through this, it intends to promote the recognition of M&E as a profession and discipline essential to development, and practiced and used in a manner that adds significant value to effective, sustainable development in South Africa.

6 Quesnel, R. 2010. Role of Evaluation Associations and Networks in the Professionalisation of Evaluation. Live Webinar, UNICEF.

7 Quesnel, R. Undated. The Importance of Evaluation Associations and Networks [http://www.ioce.net/download/other/Quesnel Importance Assoc.pdf](http://www.ioce.net/download/other/Quesnel%20Importance%20Assoc.pdf).

8 www.samea.org.za.

THE RELATIONSHIP BETWEEN PLANNING AND BUDGETING, AND **MONITORING AND EVALUATION** IN THE PUBLIC SECTOR



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Introduction

Since the establishment of a democratic South Africa, government has undertaken to create a public sector that is responsive to the needs of the public it serves through delivering the services promised to citizens in the most efficient way possible. One of government's initiatives is the introduction of systems and frameworks to align planning, budgeting, reporting, monitoring and evaluation in all spheres of government⁹. This alignment is to improve transparency, enable systematic monitoring of government's delivery of services and strengthen accountability. Government has taken steps to enhance planning and budgeting by introducing initiatives that will disclose and strengthen the relationship between planning and budgeting and monitoring and evaluation in the Public Service.

New government approach

The outcomes approach

In 2009, the new administration introduced 12 national outcomes¹⁰ to shift focus from the management of outputs¹¹ to the monitoring of outcomes. It became policy to not only manage and account for service delivery, but also to monitor the consequences or impact of service delivery on society. These outcomes are aimed at improving the standard of citizens' living and enable government to make more efficient and effective use of limited resources. More systematic monitoring and evaluation is being established, and relevant indicators that can be regularly measured or monitored have been introduced. Government intends to carry out periodic evaluations of the impact of its service delivery on society, analyse the effectiveness of monitoring and evaluation to continuously improve government programmes and promote evidence-based policy making.

A key feature of the outcomes approach was the introduction of Performance Agreements between the President and Ministers. Further, selected Ministers have signed Performance Agreements, which inform the strategies of their departments. Reporting on progress in the delivery of the 12 outcomes is an important input to budget development and prioritisation.

The DPME¹² has put in place systems to monitor progress on the implementation of the 12 outcomes and the related outputs in Delivery Agreements. Quarterly performance reports based on the service Delivery Agreements are submitted by Ministers to service the DPME to provide progress on the achievement

9 Ajam, T. 2007. Integrating strategic planning and budgeting: A PFMA perspective.

10 Outcomes are the effects, benefits or consequences that occur due to the produced outputs (what we wish to achieve).

11 Outputs are direct products and services generated through processes or activities (what we produce).

12 Department of Performance Monitoring and Evaluation. 2009. Improving Government Performance in the Public Sector.

of set targets identification areas of obstructions and measures introduced to deal with obstructions.

Aligning planning, budgeting, reporting, monitoring and evaluation – towards the achievement of the outcomes

Planning and budgeting frameworks

Planning and performance monitoring in government have been predominantly characterised by a silo approach¹³. This has resulted in a situation where planning, budgeting, reporting and monitoring and evaluation functions are done by different sections in institutions in isolation of each other. As a result, plans are not always aligned and synchronised with the budget allocations. Other challenges include the lack of accountability, particularly for monitoring and reporting on performance information, unrealistic target setting and poor quality of performance information.

In an effort to address some of these issues and carry out its mandate in terms of the GWM&E system, the National Treasury issued the Framework for Managing Programme Performance Information (FMPPI) in 2007¹⁴. This framework outlines key concepts regarding the design and implementation of management systems to define, collect, report on and use performance information in the public sector. It also clarifies standards for performance information in support of regular audits.

Subsequent to the implementation of the FMPPI, the National Treasury issued the Framework for Strategic and Annual Performance Plans in 2010¹⁵. This framework brings coherence and creates alignment between the planning, budgeting, reporting and monitoring processes. Through the implementation of this framework, the focus is on realistic plans based on high level outcomes, outputs, related targets and available budget. The framework provides a guide for the development of strategic and annual performance plans.

The **strategic plan** sets out the government's strategic policy priorities and plans for a five year period. The relevant aspects of the 12 national outcomes, the diagnostic overview (National Planning Commission), the provincial growth and development strategies, the integrated development plans of municipalities, infrastructure plans and any other appropriate long-term government plans must be incorporated into the strategic plans. The strategic plan also makes provision for resource considerations, allowing institutions to identify resources required for the realisation of strategic goals. The priorities set out in strategic plans should be reflected in the institution's budget allocations. Strategic objectives and performance indicators are derived from the strategic goals outlined in the strategic plans, and these must be reflected in the annual performance plan.

The **annual performance plan** sets out institutions' intended initiatives to implement their strategic plans over the medium term. This plan sets out performance indicators and funded targets for an institution's programmes and subprogrammes, and is directly linked to the strategic plan. This plan is also linked to the annual budget and medium-term expenditure framework for institutions' programmes and subprogrammes. The annual budget is developed within the framework of the strategic plan and must inform and be informed by the annual performance plan.

The **budget guidelines** requires institutions to provide information on outputs and other performance indicators and their targets based on the strategic and annual performance plans. The Medium Term Expenditure Framework planning process is designed to achieve an allocation of fiscal resources between government programmes and entities consistent with a balanced and cost-effective promotion of the 12 national outcome priorities. Objectives and measures, performance and operations indicators and targets are required from national departments for publication in the Estimates of National Expenditure. Progress in relation to targeted performance is reported on in the budget submissions, the Adjusted Estimates

13 Bruijn, H. 2007. Managing performance in the Public Sector.

14 National Treasury. 2007. Framework for Managing Programme Performance Information.

15 National Treasury. 2010. Framework for Strategic and Annual Performance Plans.

of National Expenditure and in the annual reports. Similar performance information is required from provincial departments for publication in the Estimates of Provincial Revenue and Expenditure and is also reported in the annual reports.

The operational plans reflect the lowest tier of planning and expand on how targets in the annual performance plan will be achieved. Performance indicators are disaggregated in terms of activities in the operational plan. Successful implementation of these activities will result in the achievement of the relevant targeted outputs.

Reporting frameworks

The National Treasury has developed two monitoring and reporting systems to integrate planning with budgeting systems that cater for financial and non-financial information. In-year implementation and monitoring of service delivery and the budget is conducted through the quarterly performance reports and the monthly financial reports respectively. End-year reporting constitutes reporting on outputs against pre-determined targets and reporting on annual financial statements.

In-year monitoring reports

The quarterly performance reports provide progress on the implementation of the institutions' annual performance plan with emphasis on monitoring delivery against planned quarterly targets. Monthly expenditure reports are used to monitor actual spending against planned spending. These reports are also used to alert managers where remedial action is required in-year, based on both financial and non-financial information.

Value for money is an important objective in budgeting. In support of this, quarterly performance targets are compared to actual expenditure in an effort to link service delivery with spending data.

The DPME has also established a quarterly reporting mechanism to monitor progress on the implementation of the 12 national outcomes. These quarterly reports are based on the agreements signed

between Ministers and the President, and provide progress on the achievement of targets set for the outputs and sub-outputs of the 12 national outcomes.

Annual reports

The annual report is the ultimate accountability document in government. It is linked to the implementation of the annual performance plan and the budget. It focuses on the institution's performance relative to the targets set in the annual performance plan and also indicates how the budget was implemented in accordance with the service delivery outputs.

The relationship and alignment of the planning, budgeting, reporting, monitoring and evaluation documents is made possible through appropriate budget programme structures. Budget programme structures provide the key link between an institution's objectives and its detailed operational budgets. A department's budget programme structure should provide a stable platform, linking successive plans and strategic priorities to budget allocations and performance indicators that track delivery over the medium to long term.

Roles and responsibilities

The National Treasury

The National Treasury is responsible for monitoring departmental spending on allocated funds. This function is carried out by the Public Finance and Inter-governmental Relations Divisions. This is done through an in-year monitoring system. The monthly expenditure reports are available for analysis by Parliament and are used to monitor expenditure trends and determine if spending is in line with plans. The National Treasury also uses these reports to advise departments on over or under expenditure risks during the year and to recommend measures that can be taken to avoid such an eventuality.

The quarterly performance reports and analysis of performance information enables the National Treasury to monitor that allocated funds achieve the intended outputs.

The Department of Performance Monitoring and Evaluation

The DPME evaluates the implementation of government strategy, including its impact as measured against identified outcomes. The DPME has sector experts responsible for facilitating and monitoring the implementation of each of the 12 outcomes. The data forums led by the DPME, and comprising of representatives from the relevant national and provincial departments, have also been established. The DPME is represented in the Medium Term Expenditure Committee (MTEC), a committee that assesses recommendations for budget allocations, while taking into consideration key government priorities and the spending plans of institutions. In this committee, the DPME ensures that the national outcomes and any other key government priorities are addressed in the process of resource allocation.

Parliament and Provincial Legislatures

Parliament plays an overseeing role in respect of the budget process and in the implementation of spending plans and priorities. Through the documents that are tabled, namely the: strategic and annual performance plans, annual reports and the various budget documents, Parliament is able to assess and evaluate the performance of institutions, and raise concerns with relevant Executive Authorities. The introduction of the Money Bills Amendment Procedure and Related Matters Act in 2009 enhanced Parliament's role in engaging with the budget process. Budget Review and Recommendations Reports are compiled by Parliamentary Committees and submitted to the Minister of Finance and other relevant Ministers for consideration. These reports are based on the analysis of financial and non-financial performance of institutions and emphasise Parliament's areas of concern in terms of resource allocation and performance of institutions.

The Auditor-General

The Auditor-General (AG) is responsible for enabling oversight, accountability and governance in the public sector. A phased-in approach to the auditing of

performance information started in the financial year 2004/05, with the findings reflected in the management report presented to the institutions. In the auditing of performance information, the AG focuses on the testing of internal policies, procedures, systems and controls relevant to the planning, management, monitoring, reviewing and reporting of performance. The AG also audits and assesses the existence, measurability and relevance of performance indicators relative to the targets in strategic and annual performance plans and achievements reported in the annual performance reports. Consistency of performance information between all planning and reporting documents and the timeliness thereof is assessed. This is done by comparing the reported performance information to relevant source documentation to assess the validity, accuracy and completeness thereof.

Other departments and public entities

Departments and entities are responsible for ensuring that the outputs and outcomes as set out in their planning and budget documentation are achieved. Some institutions have established internal monitoring and evaluation units to manage own performance and ensure consistency with the GWM&E system and other structures facilitated by the DPME. Institutions are also responsible for ensuring that accurate information is reported in all accountability documents to reflect on overall performance of government, both financial and non-financial.

Conclusion

The institutionalisation of planning, budgeting, reporting, monitoring and evaluating is gaining momentum in government institutions. All government institutions are now required to formulate strategic plans, allocate resources to the implementation of those plans and monitor and report the results. Perhaps the greatest milestone is that performance information is now available to enable the public and oversight bodies to assess whether public institutions are delivering and whether this constitutes value for money. Ultimately these reforms are all geared towards the delivery of a public sector that is essential to the well-being and development of the nation.

THE RELATIONSHIP BETWEEN AUDITING, MONITORING AND EVALUATION IN THE PUBLIC SERVICE



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Auditing in the South African context

The Auditor-General of South Africa (AGSA) is established in terms of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996) which requires that the Auditor-General must audit and report on the accounts, financial statements and financial management of:

- All national and provincial State departments and administrations
- All municipalities
- Any other institution or accounting entity required by national or provincial legislation to be audited by the Auditor-General.

In terms of section 20 of the Public Audit Act, 2004 (Act No. 25 of 2004)¹⁶, the AGSA must prepare a report in respect of each audit. This audit report must reflect such opinions and statements as may be required by any legislation applicable to the auditee,

which is the subject of the audit, but must reflect at least an opinion or conclusion on:

- The financial statements
- The auditee's compliance with any applicable legislation relating to financial matters, financial management and other related matters
- The reported information relating to the performance of the auditee against pre-determined objectives.

Section 20 (3) of the Public Audit Act, 2004 (Act No. 25 of 2004) also provides that the Auditor-General may report on whether auditee's resources were procured economically and utilised efficiently and effectively.

The auditing of performance information (also referred to as audit of predetermined objectives) was only formally introduced to the public sector in South Africa in 2004. This was preceded by the inclusion of performance planning and reporting requirements in the Public Finance Management Act, 1999 (Act No. 1 of 1999) (PFMA)¹⁷, Municipal Finance Management Act, 2003 (Act No. 56 of 2003) (MFMA)¹⁸ and the Municipal Systems Act (Act No. 32 of 2000) (MSA)¹⁹.

Since 2004, the AGSA has adopted a phasing-in approach to the audit of pre-determined objectives.

Monitoring and evaluation in the South African context

Monitoring is defined as the regular observation and recording of activities in a project or programme. It is a process of routinely gathering information on all aspects of the project. To monitor is to check on how

¹⁶ Public Audit Act, 2004 (Act No. 25 of 2004).

¹⁷ Public Finance Management Act, 1999 (Act No. 1 of 1999).

¹⁸ Municipal Finance Management Act, 2003 (Act No. 56 of 2003).

¹⁹ Municipal Systems Act, 2000 (Act No. 32 of 2000).

project activities are progressing. It is systematic and purposeful observation²⁰. Monitoring also involves giving feedback about the progress of a project to donors, implementers and beneficiaries of the project.

Evaluation, on the other hand, is about understanding a process and making suitable changes in the process to get an improved result²¹. The most important factors in evaluation are to understand if we are doing the right things, whether we are doing them in a right manner and whether there are better ways of doing it. Evaluation is a good way to see if intended results are being achieved and, if not, what the reasons behind failure are.

The DPME was established in January 2010 in the Office of the Presidency, with a specific focus on continuous improvement in service delivery through performance monitoring and evaluation. Its mission is to work with partners to improve government performance in achieving desired outcomes and to improve service delivery through changing the way government works. DPME aims to achieve this through coherent priority setting, robust monitoring and evaluation related to the achievement of outcomes, institutional performance monitoring, monitoring of frontline service delivery and supporting change and transformation through innovative and appropriate solutions and interventions.

Apart from the establishment of a monitoring and evaluation unit at central government level, another level of monitoring and evaluation exists within the national and provincial departments in the form of monitoring and evaluation units.

Auditing versus monitoring and evaluation

The primary difference between auditing, and monitoring and evaluation stems from the ownership of, and responsibility for, the different processes. Auditing is primarily the responsibility of the external and internal audit function, whereas monitoring and evaluation are the responsibility of management.

Management is responsible for maintaining effective control systems and has the primary responsibility for monitoring and evaluating the effectiveness of controls.

Auditing, on the other hand, independently verifies that operations and processes of an organisation are carried out in adherence to predefined standard procedures, and to establish whether any financial irregularities exist. External auditors perform auditing activities to provide assurance and more timely insight into risk and control issues. Audit can be further distinguished from monitoring and evaluation by its objectives, scope, those involved, as well as the users of the results.

Evaluation is an ongoing internal process and a part of the management cycle, while auditing comes after the management cycle and is independent of it. Furthermore, an audit can be performed at any time of the operational cycle while evaluation is usually done at the end of a phase.

Despite the differences highlighted here, the relationship between auditing, and monitoring and evaluation is of the utmost importance. Audit results can provide management with valuable insight into the effectiveness and efficiency of the systems, processes and controls that are in place and that are essential for effective monitoring and evaluation. Management is therefore provided with a perspective on systems, processes and controls in the organisation that will be seen as credible and untainted by political considerations.

AGSA reported audit results for the 2009/2010 financial years (PFMA only)

A clear analysis and understanding of the following high-level audit outcomes in relation to the financial statements, compliance and performance reporting for the year ended March 2010 (national and provincial departments) are necessary, as these contain important messages for effective monitoring and evaluation²².

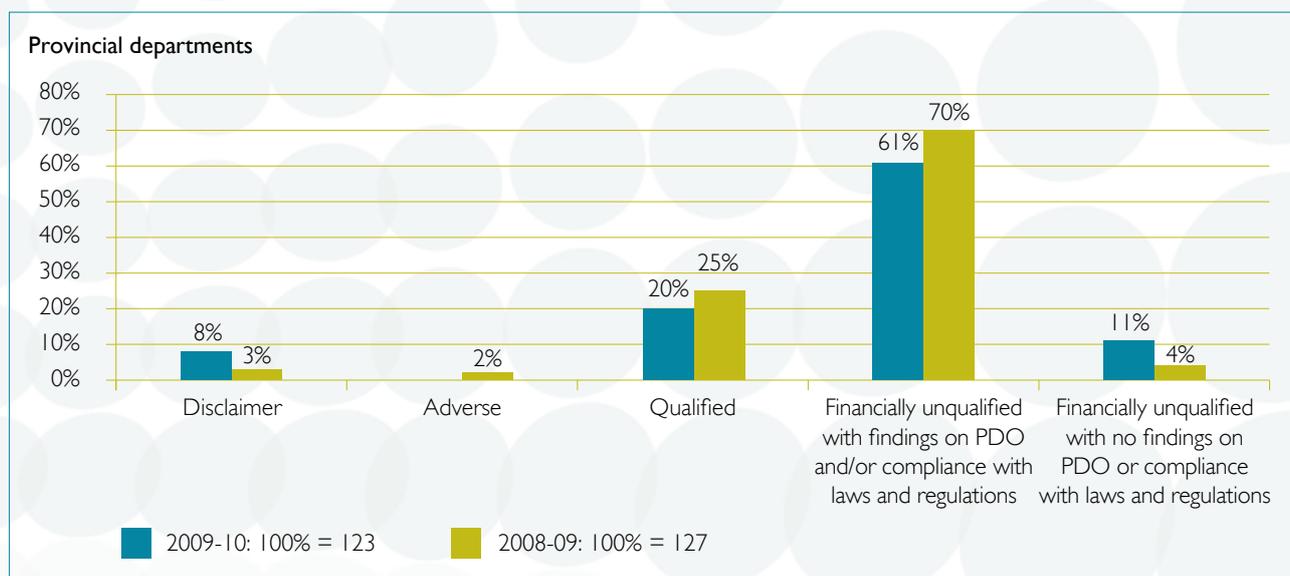
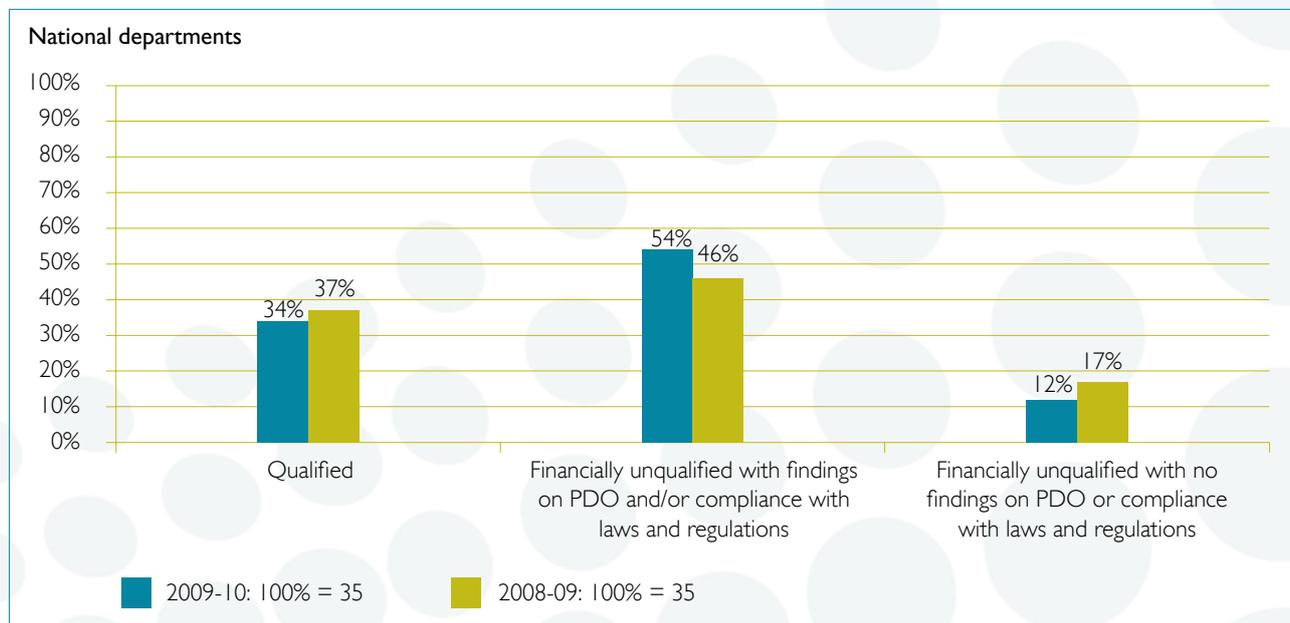
20 The nature of monitoring and evaluation: <http://www.scn.org/cmp/modules/mon-int.htm>.

21 The difference between audit and evaluation: www.differencebetween.com/difference-between-audit-and-vs-evaluation.

22 Auditor-General of South Africa, General Report on the National Audit outcomes 2009/10, RP 01/2010, ISBN: 978-0-621-39849-6.

Financial statements audit outcomes

Figure 3: High-level audit outcomes in relation to the financial statements, compliance and performance reporting for the year ended March 2010 (national and provincial departments)



The financial statements were mainly qualified in the areas of:

- Expenditure (transfers and subsidies)
- Unauthorised, irregular and fruitless and wasteful expenditure
- Capital assets (immoveable tangible capital assets, moveable tangible and intangible assets, PPP assets)
- Current assets
- Liabilities.

Predetermined objectives audit outcomes

Figure 4: Predetermined objectives audit outcomes

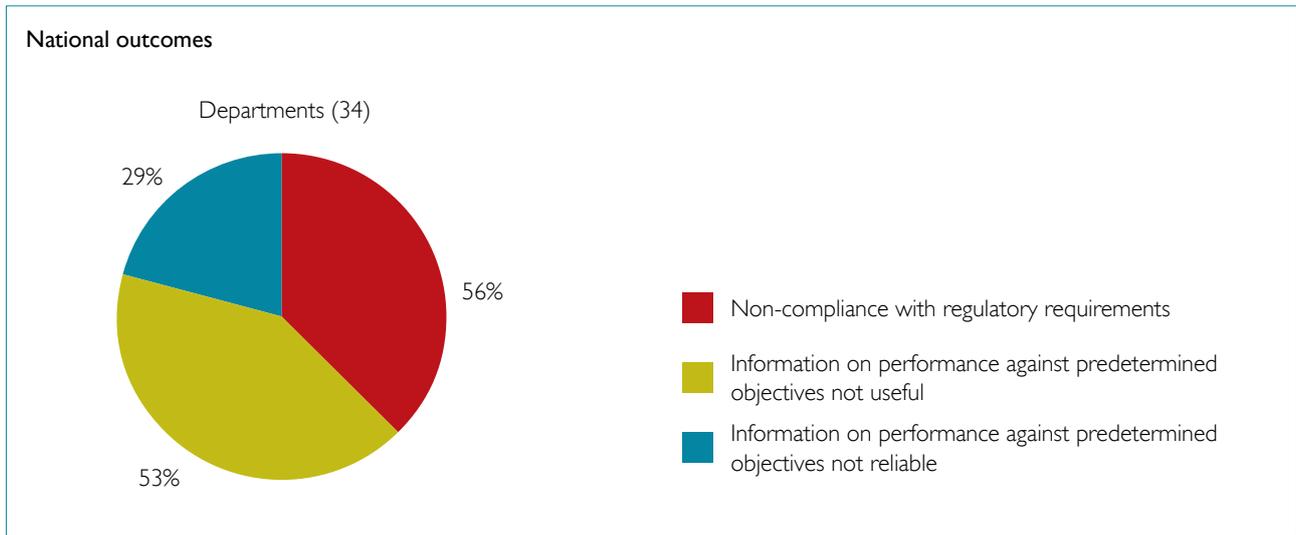
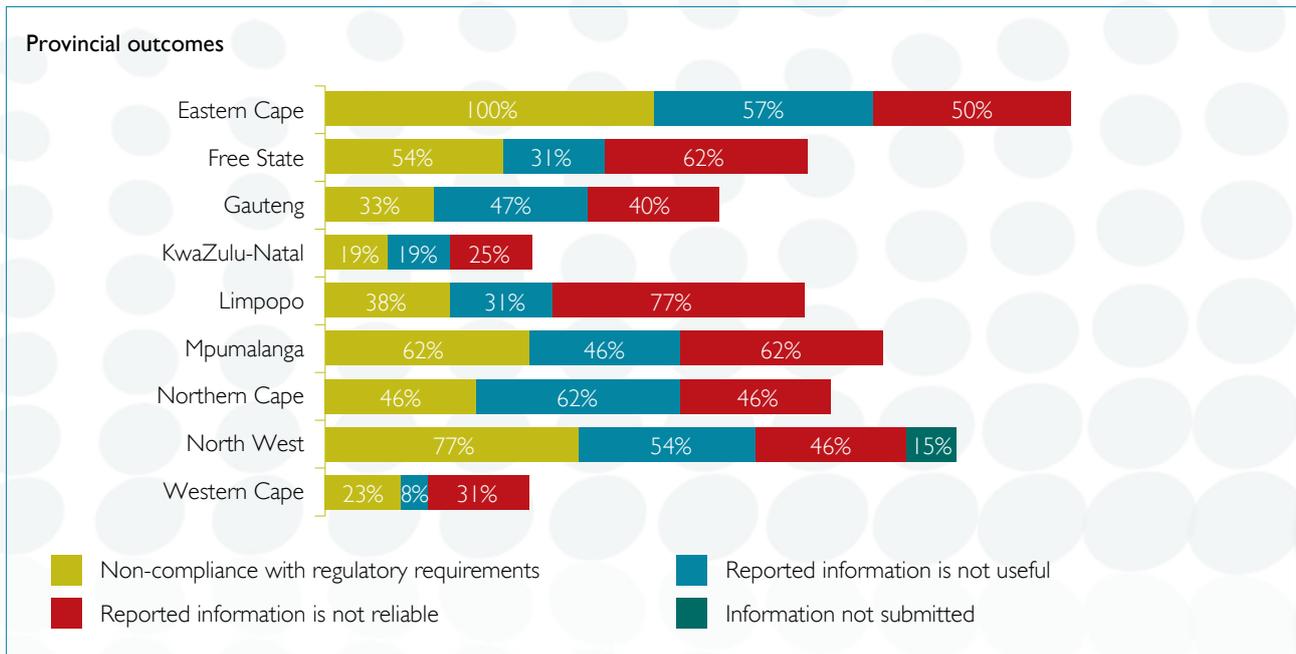


Figure 5: Predetermined objectives audit outcomes

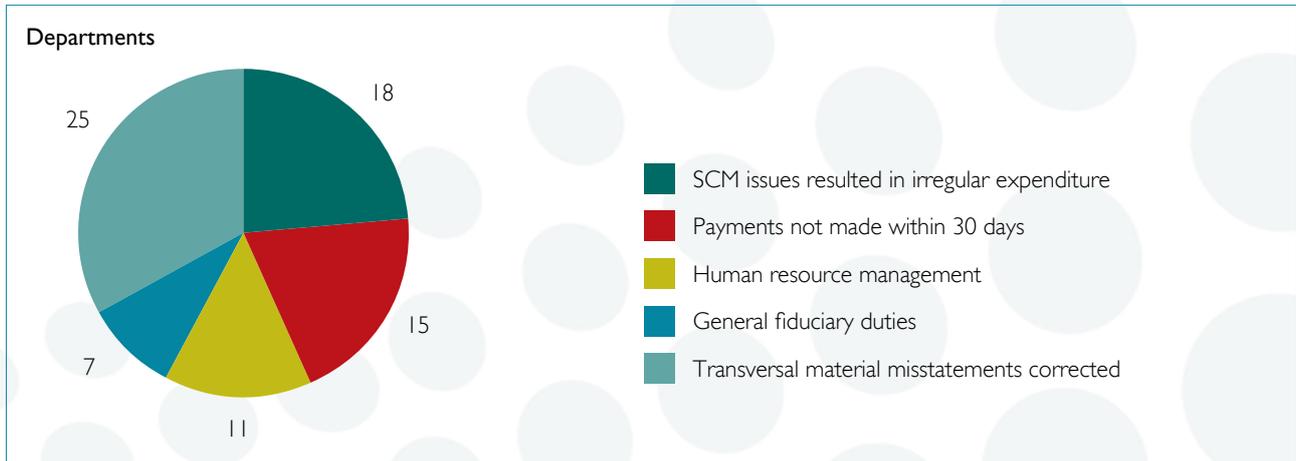


The main audit findings in relation to the performance management and reporting processes at departments highlighted the fact that there is a need to ensure alignment between the planning, budgeting, reporting and planning cycle in departments and within government. The audit further highlighted the fact that performance indicators were not well-defined and verifiable, while performance targets were not always specific, measurable and time bound. The most pertinent audit findings were raised regarding the existence and availability of documentary evidence in support of the reported performance against predetermined objectives.

Compliance with laws and regulations

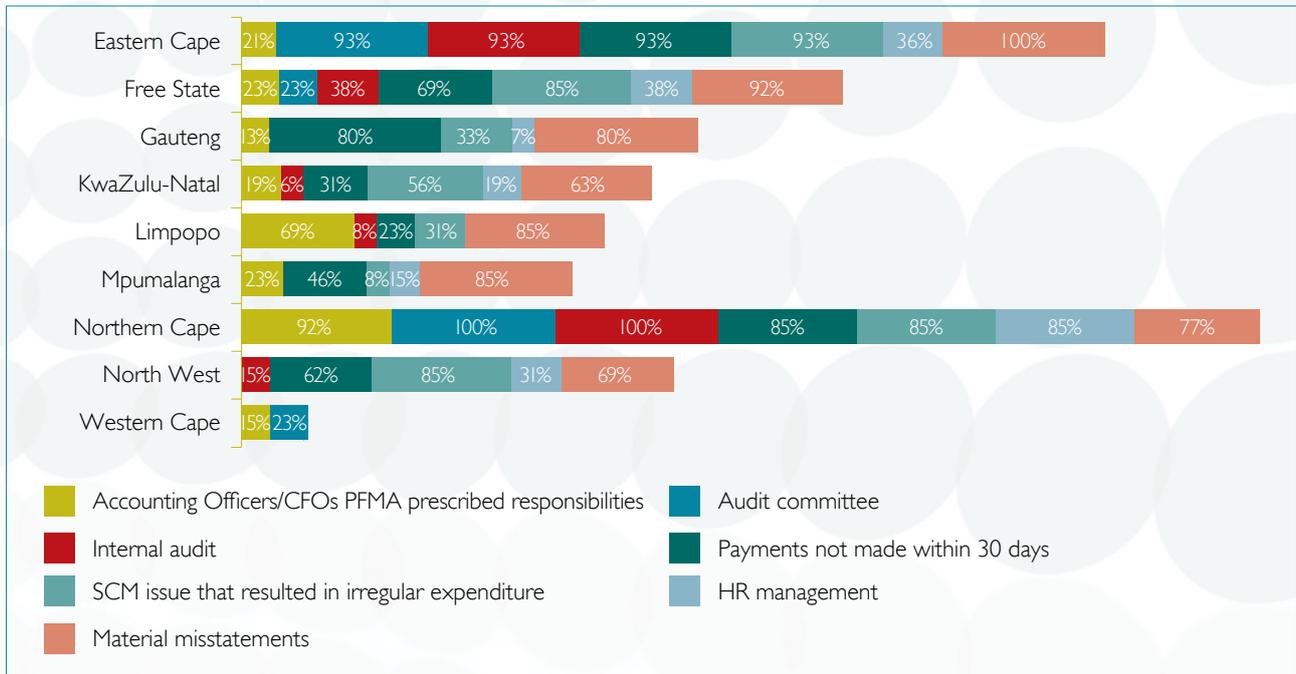
The following is a summary of the top five findings on compliance with laws and regulations at national department level.

Figure 6: Compliance with laws and regulations at national department level



The following is an analysis of the most prevalent findings on compliance with laws and regulations at provincial department level.

Figure 7: Most prevalent findings on compliance with laws and regulations at provincial department level



When evaluating and analysing the annual audit outcomes published by the AGSA, there is much to be attended to in order to achieve clean administration and proper monitoring and evaluation. To this end, three fundamental areas of internal control were identified for immediate attention by those charged with governance. These areas are leadership, financial and performance management, and governance. The lack of controls in these three areas

can be directly linked to the basis for the qualification, adverse or disclaimers of opinion on the financial statements, the findings on predetermined objectives and compliance with applicable laws and regulations.

Conclusion

Audit results, provided by independent external auditors, provide information on management's

controls over the efficiency and effectiveness of programmes. Therefore audit results should not be seen in isolation, but should form an integral part in management's monitoring and evaluation activities.

Supreme audit institutions (SAIs) are in a unique position to provide the legislature with confidence regarding the effectiveness and efficiency of activities across government.



MAKING A CASE FOR META-EVALUATION



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Introduction

The PSC is required by the Constitution to evaluate the state of public administration and to make recommendations on how to improve it. However, the PSC has limited capacity to evaluate and investigate all public administration institutions and processes. It therefore not only relies on its own evaluations, but also on a variety of comment and serious evaluations of the state of public administration done by other persons or bodies. The nine editions of the PSC's State of the Public Service Report, for example, rely on a variety of sources apart from the PSC's own reports. The PSC, therefore, recognised the need to assess the quality of these sources and the potential value of systematically drawing from these sources to inform and validate its own conclusions.

It is against this background that this article focuses on the PSC's meta-evaluation project, the experience with the initial meta-evaluations that were done and the potential of this project.

The PSC's meta-evaluation

In South Africa many evaluations of various types of public administration processes, public administration institutions and government programmes are available. These include studies by universities, research centres and institutes, non-governmental organisations, government departments, consultants and international organisations. In fact, one can safely say that South Africa is an information rich society. Government draws on all these sources to inform policy, design its programmes and develop public administration. Lately, the National Planning Commission had to draw on existing research and analysis (including, incidentally, quite a lot of PSC research) to make a diagnosis of the challenges facing the country and their underlying causes. The National Planning Commission notes that "Trying to piece together the root causes of any specific issue is difficult; drawing links is even harder"²³. It therefore makes sense that the PSC does not only add its own reports to all this comment and research, but also assess the quality of some of it and systematically review the existing evidence on the state of public administration.

The PSC recognised the need to assess the reliability and usefulness of analysis obtained from existing evaluations by developing a Conceptual Framework for Meta-Evaluation in 2007. The purpose of this framework was to promote a shared understanding of meta-evaluation, and to suggest how it can add value to the oversight work of the PSC²⁴.

The term "meta-evaluation" was originally used to describe an "evaluation of evaluations" but has also been used to refer to a "synthesis of evaluations". It is similar to systematic review in that it uses explicit protocols and criteria for assessing the quality of evaluation studies and to bring together all the lessons learnt from various studies²⁵. Meta-Evaluation

23 Republic of South Africa. The Presidency. National Planning Commission 2011. Diagnostic Overview.

24 Republic of South Africa. Public Service Commission. 2007. Conceptual Framework for Meta-Evaluation.

25 H.M. Treasury. 2011. Magenta Book: Guide for Evaluations.

simply means to judge the quality of an evaluation, its strengths and weaknesses and drawing conclusions.

The meta-evaluation project provides the PSC with an opportunity to:

- Give timely comment on areas for improvement of monitoring and evaluation, including issues that should be addressed in subsequent evaluations
- Determine the extent of the utilisation of evaluation findings by decision-makers and the eventual impact of evaluations
- Improve the PSC's understanding of the success of government programmes and the state of public administration, and enable it to confidently comment on public administration and, where appropriate, make recommendations
- Identify important evaluation questions not answered by available evaluations in order to focus the PSC's own evaluation programme
- Identify challenges with regard to departments' M&E frameworks.

Among others, what is needed to assess the quality of an evaluation is a checklist of the ingredients of a good evaluation, or a list of issues to consider when designing and doing an evaluation. While making decisions about the evaluation, an evaluation standard is applied. In several countries the quality of evaluations is assessed against such standards. The United States of America uses the evaluation standards produced by the Joint Committee on Standards for Educational Evaluation (sponsored by the American Evaluation Association), 1994, for its meta-evaluations²⁶. Similar evaluation checklists have been proposed in literature. One example is the Key Evaluation Checklist of Michael Scriven (2007); another is the Utilisation-focused Evaluation Checklist of Michael Patton (2002). Similarly, Davidson (2005, p. 205) proposed that evaluations should be evaluated against five core dimensions of merit, namely: validity, utility, conduct, credibility and costs. In South Africa,

the Government-wide Monitoring and Evaluation Policy Framework (2007), issued by the Presidency, also sets out principles and practices for monitoring and evaluation, which largely makes use of the Joint Committee standards.

In order to pilot its meta-evaluation project, the PSC conducted a meta-evaluation of the Mid-Term Review of the Expanded Public Works Programme in 2008/09 financial year. The PSC has subsequently conducted two other meta-evaluations, namely; A Meta-Evaluation of a Review of the Land Redistribution for Agricultural Development (LRAD) Programme (2010/11) and A Meta-Evaluation of the Second Evaluation of DSD Projects and Services (2011/12).

The PSC applies its meta-evaluation framework to determine whether evaluations undertaken by government departments meet the stipulated principles and standards set out in the Government-wide M&E Framework. The PSC meta-evaluations focus on the context and content and the main arguments of the evaluation report, and apply a checklist approach to assess the evaluation against seven principles,²⁷ each of which is broken down into a number of standards.

The following are key observations from the initial meta-evaluation studies:

There are many good evaluations available from a variety of bodies. As said above, South Africa is information rich and has a good evaluation and research infrastructure.

Quite a few evaluations that meet the requirements of methodological rigour were available. However, in many studies there seem to be a heavy reliance on beneficiaries' perceptions and little triangulation (use of other methods). This has been partly caused by a general limitation in terms of project data quality and availability in most departments.

26 See for instance Daniel Stufflebeams' programme evaluation meta-evaluation checklist based on the Joint Committee's Standards for Educational Evaluations (1994).

27 Republic of South Africa. Public Service Commission. 2007. Conceptual Framework for Meta-Evaluation.

Many evaluation reports were not published and made available on the departmental websites. The findings were, therefore, not widely available to stakeholders. Some of these reports were obtainable only from the service providers who conducted the evaluations. One of the advantages of the PSC's meta-evaluation studies is that they brought the original evaluations into the public domain and shone renewed light on the original evaluation where the department may have shelved it.

Intended users, and use, of evaluations were not specified in the reports meta-evaluated by the PSC. (Since these reports were commissioned by departments, it should be assumed that the department is the intended user.) It has also been noted that whilst the recommendations are generally implementable, objective and feasible, departments failed to produce evidence of implementation of these recommendations.

Developmental issues were one of the main concerns of the evaluations. For example, the Mid-Term Review of the Expanded Public Works Programme highlighted the causes, extent and consequences of unemployment and resultant poverty in South Africa.

One of the key findings in the PSC's Meta-Evaluation of the Expanded Public Works Programme (2009) was that timeframes and language barriers were the key limitations in terms of beneficiary participation in the evaluation. According to the report, if sufficient time was available, "there would have been more opportunity to make a judicious selection of projects from EPWP project lists and to spend more time on site to engage more fully with beneficiaries". The meta-evaluation report notes that beneficiaries comprised mainly Africans who communicate mainly in African languages, whereas the research team consisted of English speakers and therefore language could have been a communication barrier.

Evaluation reports show that research bodies commissioned by departments to undertake evaluations, such as the Human Science Research Council (HSRC) and Social Surveys, have a policy on research ethics and a Research Ethics Committee (REC), which guides researchers²⁸. However, it is not clear whether departments have such internal ethics policies. The Meta-Evaluation of the Expanded Public Works Programme found that field workers that interviewed people for the perception survey of government officials underwent intensive training, which included research ethics. Such training was provided by Social Surveys Africa, one of the commissioned research companies, to ensure, among others, responsible use of personal and sensitive data²⁹.

Departments did not provide evidence to prove that monitoring and evaluation processes were routine and regularised. Again, the lack of administrative records and data was found to be one of the key challenges.

Conclusion

Many good quality comment and serious evaluations of the state of public administration are available. Meta-evaluation has the potential to separate the wheat from the chaff. There is also tremendous potential to be gained from synthesising research/evaluation findings and evidence from all this work to solve a variety of public administration challenges. For this to happen, the available studies will, however, have to be published, brought together in a database and systematically reviewed. New evaluations can then be commissioned to address the more glaring gaps in our knowledge. In this way the available evaluation expertise in South Africa can be much more effectively utilised. Policy advice will also be much more effective, because the attention of policy makers can be drawn to pertinent studies that meet minimum standards of rigour.

28 Human Science Research Council. http://www.hsrc.ac.za/Corporate_Information-49.phtml.

29 Component 2 Report, section 3.2.2.

THE DEVELOPMENT AND IMPLEMENTATION OF A **MONITORING AND EVALUATION** SYSTEM – A CASE STUDY ON THE NORTH WEST PROVINCE



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Government is facing enormous challenges to improve the quality of life of the people, as well as to accelerate delivery of services through effective and efficient means. The public sector delivers services essential to the well-being and development of communities. As such, government must ensure that service delivery and development is delivered in an efficient, economic and effective manner. Most importantly, government institutions are required by law to develop strategic and operational plans, allocate resources for the implementation of programmes, projects and initiatives in pursuance of effective service delivery and contribute towards development. Significantly, government is expected to monitor and report on the results of implementation in particular the impact.

It should be pointed out that a proper monitoring and evaluation system ensures that performance information enables oversight bodies and the public to determine whether public institutions are delivering value for money by comparing their performance against their budgets, service delivery and development plans. Further, it assists in the promotion of good

governance, accountability, as well as improvement in service delivery and the facilitation of better decision making across all levels of government.

What is also critical is that the results of M&E ensures that departments and municipalities implement policies, programmes and projects that are in tandem with national priorities, as well as meet the needs of stakeholders, both within and outside the province. It is also worth mentioning that M&E is not a policing function, but rather a catalyst for ensuring that government resources are utilised in an effective and efficient manner to meet or address the needs of beneficiaries.

It is within this context that the Office of the Premier in the North West Province has developed and institutionalised a functional monitoring and evaluation system within the context of the government planning, monitoring and reporting framework. The figure on the following page shows the framework in which the M&E system is being implemented in the North West Province.

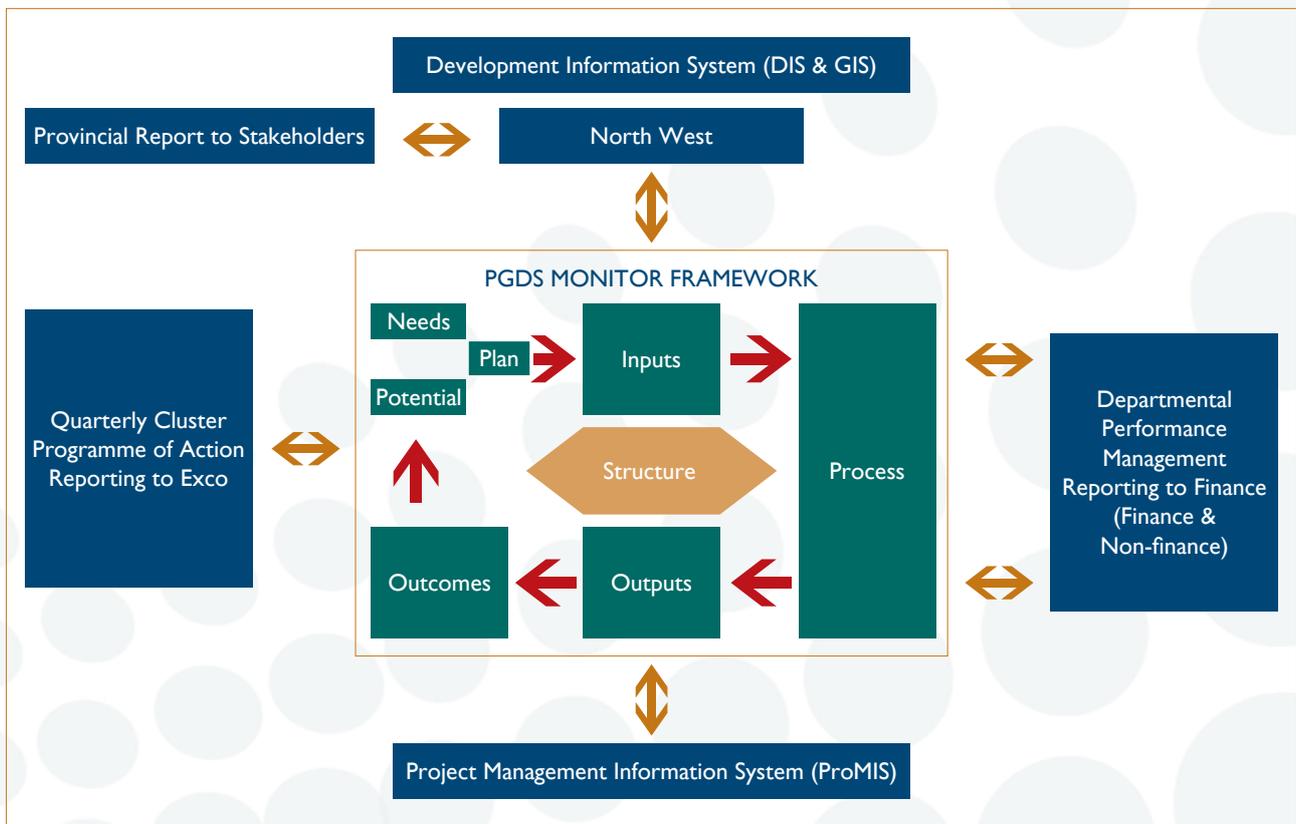
The figure clearly indicates some of the fundamental elements of the M&E that are in place and currently being implemented by the Office of the Premier in the North West Province.

Key elements of the system include among the following:

- Institutional arrangements
- Internal structure to implement the system
- Indicators being measured and/or plans
- Availability of quality data.

It is important to mention at this stage that the essential and fundamental principle to be observed

Figure 8: Some of the fundamental elements of the M&E that are in place and currently being implemented by the Office of the Premier in the North West



with the development of any M&E system is to ensure that there is political buy-in and to ensure that the system is well supported by the top management of any organisation. In that way information generated from the M&E system would be taken seriously and will be adequately used for decision making.

In the North West Province there has always been support from politicians and senior management. This support can be witnessed in the fact that almost all the departments introduced the M&E functions in line with the reforms that were happening at the national level, particularly after 2007. The Premier has made a commitment in her State of the Province Address for the establishment of a Performance Monitoring Unit in the province.

Further, in 2010, the Provincial EXCO supported the introduction of the Outcomes Based Performance Management Approach, which has been developed at national level. To that effect, all Members of the Executive Council (MEC's) and Mayors signed

Performance Agreements and inter-governmental protocol with the Premier respectively. Analogously, MEC's are signatories to Delivery Agreements with Ministers at a national level.

On a quarterly basis, departments are expected to provide progress reports to the Office of the Premier. Prior to the Provincial Makgotla's, Clusters interrogate the performance information and recommend remedial actions before presentations at the Mokgotla's. During the Makgotla, the performance information is further deliberated and further remedial actions are taken.

Critical to the success of this M&E system is the assurance that there is adequate and reliable information to inform decision making. As such, there is a need to have properly defined indicators. Various indicators, such as the Programme of Action, have been developed and agreed upon for the various reporting needs. However, though, there is a need to further refine these indicators to ensure that relevant

and proper information is collected. This exercise will be concluded with all the stakeholders, including the national level.

During the last financial year, the Office of the Premier in the North West Province has developed an information portal which is used to store information relevant to our M&E needs. The portal consists of information from both official sources, such as Statistics South Africa (STATSSA), and administrative records from departments and municipalities. In addition, the Office of the Premier has a project register where all projects, particularly those supporting the New Growth Path, are monitored. The register would need to be beefed up as there are still data gaps that need to be filled.

A number of data collection and reporting tools have been developed. These toolsets are based on the indicators and type of reports sourced by the various stakeholders. Below is a list of reports that are generated (the list is not exhaustive):

- North West Barometer Reports
 - Provides detailed account and progress information on how the province performs in specific areas such as economy, social indicators, etc.
- Provincial Growth and Development Strategy (PGDS) Monitor
- Cluster Progress Reports
- Departmental Outcomes-Based Management Performance Reports/POA
- Programme and Project Management Reporting
- Special Reports to the Presidency.

The biggest challenge in the implementation of the M&E system has always been the reliability and accuracy of the data that have been gathered. This is an area that requires dedicated attention to improve decision making. Further, there is also a need to build capacity in the areas of data management to ensure that the quality of information collected is enhanced.

Key to the success of any functional M&E system is the constant communication of M&E results to ensure that politicians and managers are made aware of the shortcomings and impact of government programmes.

In that way a process for the institutionalisation of remedial actions or interventions is facilitated. This area may also need to be strengthened to ensure positive results of M&E information planning and implementation.

It is also worth mentioning that the institutionalisation of an effective and functional M&E system is not a linear process. It requires a serious degree of patience and co-operation from all stakeholders to attain its intended objectives. As already indicated above, there are challenges being experienced with regards to quality of data and adequate human resources. These are issues that should be constantly addressed.

With the introduction of the Outcomes-Based Performance Management System, developed at the national level, there was a need for a slight adjustment of the M&E processes to accommodate the new needs. However, in terms of the fundamentals not much needs to be done, as the fundamentals are in place. What needs to be enhanced is, perhaps, the clarification of roles and responsibilities in line with these new mandates.

Further, there is a need to rationalise the reporting processes to reduce the reporting burden particularly for municipalities.

In conclusion, the lessons that have been learnt in the process for the development and implementation of a functional M&E system are as follows:

- The development of a functional M&E system is a process not an event
- It requires support from politicians and senior management of an organisation to be fully successful
- Clear roles and responsibilities should be defined and outlined to ensure that there is no duplication of efforts and wastage of resources
- Funding is necessary to ensure that adequate and skilled resources are employed
- There must be constant efforts to produce and collect credible data
- Significantly, the system should be able to produce the results that are utilised for decision making.

BUILDING A RESULTS-BASED MONITORING AND EVALUATION SYSTEM FOR THE WESTERN CAPE GOVERNMENT OF SOUTH AFRICA – A WESTERN CAPE PROVINCE CASE STUDY



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Preamble:

The Western Cape Government has developed a series of Provincial Strategic Objectives (PSOs) on which to base its priorities, transversal planning processes and service delivery. The government has also worked on building a Results-Based Monitoring and Evaluation System (RBM&E) to capture information on the extent to which these PSOs are being achieved. This system enables integrated province-wide M&E to occur. It consists of seven phases as described later in this paper. This seven-phase processes serves as a toolkit for any government institution to set up their own RBM&E System. This is the main value of the system.

This paper sets out to describe the way in which the Western Cape Provincial Government of South Africa has developed such an M&E system.

Context of RBM&E for the Western Cape Provincial Government

The primary aim of M&E in government is to provide information for decision-making. But data collected for M&E purposes is often wide-ranged and fragmented. To make sense of the complexity and diversity of M&E data collected against indicators, and to turn data into useful strategic management information, it is necessary to integrate the data into a system.

The central feature of M&E is that it is used by the Western Cape Provincial Government to improve performance. The RBM&E system is being used to measure the performance of the desired outcomes in relation to the PSOs government aims to achieve.

Other provinces may wish to use a similar RBM&E system to measure their performance.

Focus of the Western Cape Provincial Government's RBM&E System

The main focus of the RBM&E system is measuring outcomes, which are measured through the development of outcome indicators. Given that achieving outcomes depends, in part, on factors beyond the direct control of government, outcomes and their measurement, in our approach, are clearly distinguished from outputs and their measurement. Thus outputs are about what the province as a whole, and each department in it, actually delivers, while outcomes are about what they wish to achieve through these outputs. Indicators measuring outputs are therefore clearly differentiated from indicators that measure outcomes.

Aims of the RBM&E System

The Western Cape model aims to provide a platform for setting up RBM&E systems for public sector M&E in the province. The RBM&E System should ensure that it provides data and information that is necessary to measure government's achievements against a core set of indicators contained within it. Such information enables evidence-based decision making in line with the provincial government's policies, strategies, programmes and projects.

Developing the toolkit

As a starting point for developing this toolkit, a Strategic Framework for Provincial-Wide M&E (PVMES) was developed. This framework examined how a PVMES can measure the results of the work done in the province. The emphasis of the framework was on measuring those outcomes directly linked to specific PSOs. It also sketched how the processing of M&E data collection will be supported by an electronic application.

To develop the RBM&E System for the province, a specific **seven-phase** sequence was formulated, taking into account the principles of Kusek and Rist (2004: 23)³⁰, namely formulating outcomes and goals; selecting outcome indicators for monitoring; gathering baseline information on the current condition; setting specific targets to reach and timelines; for reaching them and collecting data to assess whether the targets are being met. The development of the RBM&E System was also informed by other international practices, such as the Malaysian Government Result-Based Budgeting System and the International IMA Model. The RBM&E System for the province was developed in-house with technical support conducting quality assurance in the field of indicators and data governance.

Each of the **seven phases** constitutes a sub-system. These sub-systems are inter-dependent and contained within the overarching PVMES. They provide the necessary components of the system, so that they can operate as a whole through effective indicator and data management. The components are then aligned to the core processes and supporting processes of

the PVMES mandate. The sub-systems are reviewed annually to maintain an up-to-date and comprehensive M&E system that will function effectively.

The seven phases constituting the RBM&E System are described below.

Phase 1: Readiness assessment and stakeholder engagements

The readiness assessment involved conducting provincial audits with the M&E staff in the Western Cape Provincial Government. These audits ascertained the capacity and readiness in each department to build a RBM&E System that could be aligned to this provincial-wide system and the critical challenges faced in each department in relation to building the RBM&E Systems.

Stakeholder engagement involved identifying relevant stakeholders at local, provincial, national and international levels, and institutionalising stakeholder engagement through the establishment of an M&E forum and an external reference group, which met on a regular basis. This phase was important for understanding the stakeholder environment.

Phase 2: Developing overarching strategic frameworks

This phase focused on the development of the strategic M&E frameworks for the PVMES which provide the conceptual and strategic understanding of the PVMES mandate, its RBM&E approach and its relationship to the policy context of the provincial government. This phase sets out the strategic approach on how to implement RBM&E to assess how well the provincial government is doing in meeting its strategic objectives.

Phase 3: Indicator definition process and indicator development

This phase was the starting point in translating the PSOs into broad, outcomes-based themes, and then subdividing these themes into aims or desired outcomes for the period 2010 to 2014.

³⁰ The principles of Kusek and Rist (2004: 23).

In this phase a compendium of indicators was selected to measure each aim or desired outcome for the PSOs, taking into account the national statistical production areas and global imperatives.

Phase 4: Developing monitoring and results frameworks

In this phase, attributes for each core indicator were identified in order to build the monitoring system. These attributes included information on appropriate data sources; the frequency of data collection; responsible data producers and level of disaggregation to measure results based on the indicators. Baseline data was also collected, and targets were set against which the outcome indicators could be measured.

The indicators and their attributes culminated in a monitoring and results framework for each PSO. This phase was the essence of the RBM&E system and is interlinked with phases 3 and 5.

Phase 5: Data management and data assessment

This phase related to the actual data collection on the outcome indicators to observe the given situation and the changes that occurred as well as the analysis and reporting of results. It included the identification and location of the data sources, and the assessment of the data quality by building quality standards into provincial administrative data records.

This phase was critical, as it relates to broader data governance matters such as data profiling, data quality standards and data architecture and it is interlinked with phases 3 and 4.

Phase 6: Information architecture

The information architecture was designed to support

the manual processes regarding collecting PWMES information, and to manage data collected to measure the indicators.

The information architecture of the PWMES was included in a broader computer-based relational database. This database contains data collected not only for the PWMES, but also for the Annual Performance Assessment System (APAS) and the Executive Projects Dashboard (EPD). The PWMES, as an electronic system, draws its data by interfacing with other e-platform systems. APAS, as an electronic application, stores output indicator results whilst the EPD, as an electronic application, receives and captures information on departmental projects and tracks progress and budget utilisation. This phase was the essence of automating the work done in phases 2, 3, 4 and 5.

Phase 7: PWMES: Planning to implement and sustain the PWMES

In this phase the Western Cape Province ensured that the PWMES delivers an effective indicator and data management system for collecting relevant data and information for strategic management purposes. The annual review of the sub-systems of the PWMES takes place in this phase. This review is pivotal in maintaining an up-to-date comprehensive M&E system and ensuring that the components in each phase adhere to the necessary policy context, M&E elements and mechanisms for such a system. This phase indicates as to when the RBM&E System is ready to start, to be implemented and to be sustained.

In conclusion, the building of the RBM&E System and its application set the direction for improving M&E processes and methods within the provincial government, ultimately improving the measuring of results on a continuous basis.

BUILDING A COMPLIANCE MONITORING SYSTEM TO PROMOTE GOOD GOVERNANCE IN THE PUBLIC SERVICE



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African countries pass many regulations and adopt new standards every year for its Public Service, but how many are effectively implemented? The South African government has come to realise that the poor compliance of its departments was harming the overall development of the country. To address this challenge, a new mechanism is being set up by the Department of Public Service and Administration (DPSA).

The DPSA was established in 1996 with the purpose of promoting service delivery and support to the Minister in the transformation of the Public Service in South Africa. One of its key functions is to annually report to Parliament and oversight bodies on the level of compliance to regulations and other prescripts issued as part of good governance.

The Auditor-General's findings have, over the years, identified poor compliance with Public Service regulations/legislation/standards/prescripts³¹ and other requirements as a challenge throughout the Public Service. This challenge is to a large extent attributable to the non-existence of an integrated compliance monitoring guide and system.

31 Public Service Regulations, 2001.

The 2009/2010 Presidential State of the Nation Address, the 2009-2014 Medium Term Strategic Framework, the Minister for Public Service and Administration (MPSA) Budget Vote Speech in 2009, as well as the Department of Performance Monitoring and Evaluation Discussion Document (2009) made compliance to standards and regulations of Public Service departments a major priority.

The DPSA had already started conceptualising on this area of monitoring in 2008. To address this need, a survey to identify the compliance criteria within the DPSA legislative environment was conducted. However, the focus was on "Institutional Compliance and Performance Assessments". This intervention was aimed at enforcing institutional compliance in an integrated manner. To this extent, the Monitoring and Evaluation Unit within the DPSA now aims to broaden the scope and look beyond internal DPSA compliance monitoring. The unit is currently working on the formulation of an M&E Framework for the DPSA, which will clearly spell out how the compliance to Public Service regulation will be monitored.

If this intervention is implemented, the DPSA and government will be in a better position to (a) enforce compliance in an integrated manner, (b) improve compliance levels in the Public Service and ultimately service delivery and performance, and (c) analyse and use compliance data to make informed decisions about appropriate support interventions.

The DPSA devises to develop an extensive compliance monitoring system, coupled with development experience of compliance systems and knowledge of Public Service regulations and practices. This will then allow the DPSA to evaluate complex processes and controls in a comprehensive and streamlined manner, with indicators best aligned with Public Service control environment, risk appetite and risk tolerance.

Among the key elements of the DPSA's M&E Framework on compliance monitoring will be compliance monitoring assessment and design; compliance monitoring implementation and compliance monitoring performance improvement and guidelines.

The aim of the project is to enable the DPSA to monitor compliance and the implementation of its policies within the Public Service. The system would allow the MPSA to report on an annual basis on the compliance to policies and directives issued.



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