



**LIMPOPO**

**PROVINCIAL GOVERNMENT**  
REPUBLIC OF SOUTH AFRICA

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**DEPARTMENT OF**  
**EDUCATION**

**POLICY ON MONITORING AND EVALUATION POLICY**

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# 1. GLOSSARY OF TERMS

AG	Auditor General
APP	Annual Performance Plan
AoPI	Audits of Predetermined Objectives
CEM	Council of Education Ministers
DBE	Department of Basic Education
DHET	Department of Higher Education & Training
ECD	Early Childhood Development
EPWP	Expanded Public Works Programme
GWM&E	Government-wide Monitoring and Evaluation
HEDCOM	Heads of Education Departments Committee
HoD	Head of Department
IDP	Integrated Development Plan
IQMS	Integrated Quality Management System
LDE	Limpopo Department of Education
LEGDP	Limpopo Economic Growth & Development Plan
LPWM& EF	Limpopo Province Wide Monitoring and Evaluation Framework
M&E	Monitoring and Evaluation
MEC	Member of the Executive Committee
MOV	Means of Verification
NGO	Non-Government Organisation
OTP	Office of the Premier
PFMA	Public Finance Management Act of 1999
SPP	Strategic Performance Plan

# 1 INTRODUCTION AND BACKGROUND

In 2009, the National Government created the Ministry for Planning, Monitoring and Evaluation in the Presidency, which signalled the importance given to the role of monitoring and evaluation in improving service deliver. The Ministry's creation resulted, in part, from observations that some communities across the country have not been given the services they required and where services were delivered, their quality in some cases was suspect. The Ministry for Planning, Monitoring and Evaluation notes that "massive increases in expenditure on services have not always brought the results we wanted or our people expected". There is a need to strengthen and stimulate the performance of government so that its programmes yield the desired outcomes. This is made more urgent by the Outcomes Based Approach and Service Delivery Agreement that Ministers sign the agreement with the President. In turn MECs sign agreement with Ministers

The Limpopo Department of Education's Service Delivery Agreement relates strongly to the achievement of National Outcomes1 (Quality basic education) and 5 (A skilled and capable workforce). The prime responsibility for achievement of Outcome 5 will primarily shortly reside with National Ministry of Higher Education.

The department is committed to the achievement of the National Development Plan (2030) and Limpopo Development Plan (LDP) objectives specifically in regard to education and skills for the economy. The department is also committed to the accomplishment of a clean audit to ensure good corporate governance.

It is important to note that Limpopo Department of Education (LDE), unlike other provincial departments has just started to establish a staffed Monitoring and Evaluation Unit in 2018, however before the creation of the Ministry of Performance Management, Monitoring and Evaluation in the Presidency, the LDE has been doing Monitoring and Evaluation job but at limited scale. The focus of the then M&E Unit was however on systemic evaluation of school performance as opposed to department-wide performance as required by the Presidency. This policy is an attempt to bring together the functions of the previous Monitoring & Evaluation Unit and the functions of M&E as conceptualised by the Presidency. The newly established unit is staffed and will be able to respond to M & E issues of the LDE.

This M&E Policy is not a "stand alone" document. It has critical links with other specific policies and plans both within the department and more broadly in provincial government. This Policy, therefore, should be read in conjunction with the following documents:

- The Limpopo Province Wide Monitoring and Evaluation Framework (Revised in 2018)
- Policy on Planning and Management of Programme Performance
- The Departmental Strategic and Performance Plan;
- The Departmental Annual Performance Plan;
- The National Evaluation Policy Framework,
- The Departmental Operational Plan;
- Action Plan 2014.
- Departmental Turnaround Strategy;
- The Provincial M&E Framework 2018; and
- The Provincial M&E Plan 2018.

The primary aim of this policy is to inform and guide the monitoring and evaluation (M&E) activities of the Department. It provides explanation of key concepts and benefits of conducting monitoring and evaluation. It also outlines the processes, procedures and principles involved in monitoring and evaluation (M&E) to ensure credible data collection, analysis and reporting.

The Limpopo Department of Education (LDE) is therefore preparing itself to act on the mandate from the Presidency and the Office of the Premier to create capacity to monitor and evaluate service delivery. This is part of a renewed commitment in the LDE to performance monitoring and evaluation in order to improve performance and service delivery in every aspect of the department's operations.

## **2 OBJECTIVES OF THE M&E SYSTEM**

- To define and map-out a comprehensive, integrated and systematic organisation-wide approach to monitoring and evaluation across all programmes.
- To provide reliable and credible mechanism to evaluate the department's progress against the service delivery objectives outlined in its Strategic Plan, Annual Performance Plan and other policy documents, in order to demonstrate tangible results;

- To assist the department in decision-making through credible and timely quality data and reports;
- To ensure more effective and efficient resource utilisation;
- To achieve policy objectives and mandates to improve public accountability;
- To improve accountability and transparency, in particular in relation to resource utilisation, and also in relation to external stakeholders through the collation and dissemination of accurate, timely and relevant information;
- To inform policy decision-making and planning;
- To contribute to sustained improvement in programme planning, budgeting and implementation management;
- To ensure compliance with all statutory reporting requirements for evidence-based programme performance information, as well as laying the foundations for audits of predetermined objectives; and
- To create a results-oriented organisational culture which is open to critical self-reflection, continuous learning and innovation.

### **3 APPLICABILITY OF THE DEPARTMENTAL M&E POLICY AT THE LIMPOPO DEPARTMENT OF EDUCATION**

This Policy is issued under the authority of the Member of the Executive Council (MEC) as the Executive Authority, and the Head of Department (HOD) as the Accounting Officer for the Limpopo Department of Education (LDE). The guiding principles and tools outlined in this policy will be applicable to all personnel and, in particular, all levels of management within the department including programme managers and project managers (as outlined in more detail in Section 10). This policy also affects all related structures of the department and service providers.

Monitoring & Evaluation Unit will ensure that M&E findings are regularly communicated to the following organisations/persons who constitute M & E Stakeholders:



### Internal

- All programmes and all officials who form part of programmes - For them to take informed decision in implementing their programmes
- Education Districts M & E Practitioners – For alignment of LDE M& E activities.

### External

- Department of Monitoring and Evaluation (DPME) - As custodians of government M & E.
- Office of the Premier- As oversight body for Provincial Government.
- Audit Committee/AG- For auditing purposes
- Portfolio Committee on Education - For oversight activities
- Provincial Clusters - For political oversight activities
- National Departments of Basic Education and Higher Education - For alignment of implementation of policies/programmes
- Municipalities (where they have school projects included in their IDP) - for corporate intergovernmental purposes
- Citizens through Annual Reports and DPME responses to Presidential/presidency hotline.

### Departmental partners:

- Limpopo Education Trust
- NGOs and external funders
- Higher education institutions including their academic publications



## 4 LEGISLATIVE, POLICY AND STRATEGIC CONTEXT OF THE DEPARTMENT OF EDUCATION

### Constitution

The Constitution of the Republic of South Africa (1996), as the supreme law of the land, provides the legal foundation for the existence of the Republic and, *inter alia* defines the structures of the Government of South Africa. Sec 29 (1) guarantees access to basic education including adult basic education. Matters of quality and standards are also addressed in section 29. Schedule 4, Part A lists education as concurrent national and provincial legislative competence.

Several sections within the Constitution refer to the importance of and necessity for monitoring and evaluation. Effective monitoring and evaluation within all three spheres of Government are necessary to ensure that Government work together to redress poverty, under-development and the marginalisation of people and communities. There are also other statutes governing the education sector including the following:

#### Legislative mandates

- South African Schools Act, 1996 (SASA): Promotes access, quality and democratic governance in school, compulsory education, two types of schools and school funding norms for poverty reduction and redress.
- Adult Basic Education and Training Act, 2000 (Act No. of 2000): Provides for the establishment of and funding for ABET centres, governance and quality assurance for the sector.
- General and further Education and Training Quality Assurance Act, 2001 (Act 58 of 2001): Establishes UMALUSI which provides quality assurance in general and FET phases, issues exit certificates, controls, norms and standards of assessment.
- Further Education and Training Colleges Act, 2006 (Act No.16 of 2006): Provides for regulation of FET Colleges sector in terms of governance, funding and quality assurance



- National Student Financial Aid Scheme Act, 1999: Its significance is linked to amendments of Education Laws in 2007 where NASFAS was rolled out to learners at FET Colleges.
- Employment of Educators Act, 1998 : Regulates the employment and conditions of service of educators
- South African Council of Educators Act: Regulate the professional, moral and ethical responsibilities of educators.
- Public Service Act, 1994: Provides for the organization and administration of the public service.
- Employment Equity Act, 1998: Protects employees from unfair discrimination and provides a criterion for implementing affirmative action.
- Skills Development Act, 1998 : Aims to develop and improve the skills of the country's workforce
- Skills Development Levies Act, 1999: Prescribes how employers should contribute to the National Skills Fund
- Labour Relations Act, 1995: Aims to advance economic development, social justice, labour peace and democracy in the workforce
- Basic Conditions of Employment Act, 1997: Regulates leave, working hours, pay slips and terminations
- National Education Policy Act, 1996 (Act No.27 of 1996): Provides for the determination of national policy for education (e.g. for curriculum, assessment, language, admission of learners to institutions, etc.), defines the legislative and monitoring responsibilities of the Minister of Education, establishes inter-governmental forums such as CEM and HEDCOM, etc. that must collaborate to develop the education system.
- Public Finance Management Act, 1999 (Act No.1 of 1999): Provides for broad issues of financial management and procurement of goods and services within the Department in line with section 217 of the Constitution which is operationalised in legislation such as the Preferential Procurement Policy Framework Act.

## Policy and other mandates

- Education White Paper on ECD (2000) providing for expansion of Grade R, improvement of quality, curricula and teacher development for the sector;
- Education White Paper 6 providing for inclusive education to improve retention of all learners in the education system
- Education White Paper on education (2004) to transform learning and teaching through ICT
- White Paper on Transformation of Public Service
- Public Service Act of 1994
- LEGDP outlines departmental responsibilities in achieving provincial objectives.
- Service Delivery Agreements
- New Economic Growth Path
- New National Curriculum Statement
- Planning frameworks from Treasury, directives from the Council of Ministers of Education (CEM) and the Heads of Education Departments Committee (HEDCOM), IDPs, and EXCO decisions, provincial and national goals, etc.

The department further derives its mandates from the following statutory bodies: -

- The Council of Education Ministers responsible for policy formulation.
- The Head of Education committee is responsible for the day to day running of the departments and to deal specifically with administrative and operation issues.
- The Executive Council of the Province is responsible for resolutions and decisions based on the mandate of the provinces.

## **5 THE M&E RELATED LEGISLATIVE AND POLICY MANDATES FOR THE DEPARTMENT AND THE SECTOR AS A WHOLE**

The LDE Monitoring and Evaluation Policy will strive to promote the realisation of its sectoral outcome by ensuring that the following sectoral policies and mandates are implemented:

### *5.1 Guidelines for the Development of Monitoring and Evaluation System for Limpopo Province*

Section 5 of the Guidelines for the Development of Monitoring and Evaluation System for Limpopo Province provides a list of components to be included to ensure the creation of a good monitoring and evaluation system. These encompass the following:

A clear statement of objectives for which measurable indicators can be defined:

- A structured set of indicators, in terms of different hierarchies, covering outputs of goods and services generated by interventions and their outcomes and impacts on beneficiaries;
- A means of and methods to collect data and verify and manage programmes and project records;
- Organizational arrangements for gathering, analysing and reporting on project data;
- A list of proposals for ways in which M&E findings can be fed back;
- Opportunities for all stakeholders including those based in education districts to participate in the M&E process.

### *5.2 Limpopo Development Plan (LDP)*

The LDP has identified the following Key Action Programmes and Strategic Initiatives as priorities for the education sector:

- Implementing Strategic and Annual Performance Plans of the LDE;
- Improving efficiency in the LDE;
- Redesigning the school planning process;

- Creating an education and skills information management system with M&E capacity;
- Compiling and signing a social compact for rapid education and skills advancement with all stakeholders in Limpopo; and
- Mobilizing additional resources through voluntarism.
- All these are done to realise Outcome 1 of the LDP: Improved quality of basic education

5.3. Other legislative and policy mandates that relate to M&E include:

Provincial M&E Framework

- GWM&E Policy Framework
- Framework for Managing Programme Performance Information
- South African Statistics Quality Assurance Framework
- Framework for Strategic Plans and Annual Performance Plans (National Treasury)
- Green Paper on Improving Government Performance (PM&E)
- Green Paper on Strategic Planning and Coordination (Planning Commission)
- National Treasury Regulations 2007
- Performance Information Handbook
- Public Audit Act
- Public Sector Risk Management Framework
- National Treasury Guidelines, including Guide for the Implementation of Provincial Quarterly Reporting
- Public Finance Management Act (PFMA)
- Division of Revenue ACT (DORA)
- National Departments of Basic Education and Higher Education M&E Frameworks

## **6 PRINCIPLES GUIDING THE DEPARTMENT'S MONITORING AND EVALUATION SYSTEM**

The following principles and standards will guide the development and the on-going operation of the department's M&E system:

The M&E system must address organisational performance, as well as individual performance management. Current individual performance management systems such as the IQMS and PMS will form part of the overall monitoring and evaluation system, but need to be aligned with the organisational performance management framework;

- Accountability of every organisational unit and employee should be sought – hence the integration of the M&E system with existing organisational performance management systems as well as the individual performance management systems;
- The M&E system must be results-based – focusing on service delivery. It therefore will move beyond mere self- and peer-evaluation. Benchmarks and Best Practices will be established;
- Careful attention will be given to the selection methods and tools for data collection. These must be the best method and best tool for the purpose for which it is used;
- The system must attempt to avoid duplication – existing data sources and measurement systems will be utilised as far as is possible;
- The reports emanating from the M&E system need to be widely published and communicated to ensure full usage of the information with relevant information for different stakeholders;
- The M&E system must have an adequate infrastructure, including budgetary provision;
- The M&E system needs to measure the efficiency, effectiveness and impact of transversal inter-departmental projects.

- The continued integrity of the system is important – accuracy and honest self-reflection will therefore be sought. This will ensure the continued relevance, validity and usefulness of the Department's M&E system;
- Every employee has a responsibility to ensure the utilisation and success of the Limpopo Department of Education's Monitoring and Evaluation System. Providing accurate information when reporting and utilising the evaluation results when available, is crucial to the integrity of the system.

## **7 DEPARTMENTAL M&E PROCESSES & PROCEDURES**

The department is currently required to report on performance to the following bodies:

- The Department of Planning, Monitoring and Evaluation (DPME): The DPME oversees through monitoring and evaluation across the South African government. DPME monitor service delivery by all state entities and also follow up the community concerns received through the presidential hotline.
- Provincial Treasury: The LDE submits in-year-management reports, quarterly performance reports as well as annual reports in terms of the Public Finance Management Act of 1999;
- Office of the Premier: The department reports to the Office of the Premier on quarterly basis, on the contribution to Limpopo Development Plan (LDP). The LDP is the blueprint for employment growth and development for the Limpopo Province as a whole, and every provincial government department has to align its objectives with the LDP. The LDE is part of the Provincial Monitoring and Evaluation Forum.
- Social Cluster: The LDE participates in the Social Cluster which reports quarterly and annually to the Premier's Office. The Social Cluster Report ultimately feeds into the Provincial Programme of Action Report which is coordinated through the Office of the Premier;
- Audit Committee /Auditor General: Reporting takes place on a quarterly basis;
- Portfolio Committee on Education: Reporting is made on a quarterly basis but ad hoc reporting also is made upon request;

- Municipalities: Reporting is undertaken on a quarterly basis concerning school projects which have been included in municipality's IDP;
- National Departments of Basic and Higher Education: Quarterly and annual performance reporting to both national departments. Ad hoc reporting may happen depending on matters at hand.

The department also has reporting obligations in respect to the following:

- Division of Revenue Act (DORA): Reporting takes place on a monthly basis.
- Conditional grants: Reporting on conditional grants, such as school infrastructure, the National School Nutrition Programme (NSNP), NSNP, HIV/AIDS etc., usually occurs on a quarterly basis.

## **8 PRIORITIES FOR M&E**

The department has identified that the following areas of concern are the highest priorities in terms of M&E and will be the primary initial focus of the M&E system

- Capacity building for educators
- Recruitment of educators
- School Infrastructure provision
- Early Childhood Development (ECD)
- Improve quality of teaching & learning
- Improve Learner Performance
- Programmes to improve access to education
- Provisioning of conducive learning and teaching environment



## 9 RISKS IMPACTING ON THE DEVELOPMENT OF AN M&E SYSTEM AT LDE

Risk Factor (as of 2018)	Action Required
The focus of the Current M&E Unit is not on APP and OP document. It focuses only on schools	Add M&E component that focus of programme performance as outlined in the APP and OP
No adequate Budget provision for M&E that focuses on involving external evaluators	Continue to advocate and negotiate for a budget for the M&E Unit
Lack of capacity in terms of M&E human resources. M & E will depend on employees on excess in current departmental structure	Expose M & E employees to M & E training, seminars and conferences
Departmental culture possibly resistant to M&E innovations	Advocating for change management processes, need to link up with Change Management Engagement Programme
The M&E findings not used in decision making in the Department	Promote buy-in from executive management (EMC) and obtain clear and formal statements regarding the Department's commitment to implement M & E findings

## 10 ROLES, RESPONSIBILITIES AND ACCOUNTABILITY RELATIONSHIPS

### 10.1 10.1 Matrix

This section outlines the various stakeholders by position within the department and the basic roles and responsibilities in respect of the M&E activities/functions that must be fulfilled. However, these will need to be further refined programme by programme, position by position. The M&E Unit will develop a matrix which will map out the roles and responsibilities in detail of the various stakeholders who are involved in M&E. The matrix will include information confirming:

- Who is assigned the responsibility as the driver of the defined activity/function;
- Who provides additional support in respect of the activity;
- Who the users of M&E information are.
- For what do they use such information?

### 10.2 The M&E Unit

The Monitoring & Evaluation Directorate is responsible for:

- Monitoring implementation of performance improvement plans and AG recommendations;
- Monitoring, verifying and consolidating the reporting on departmental performance across all programmes (quarterly, mid-year, annual and five-yearly);
- Providing direction on M&E activities within the department through the creation of an M&E Plan and tools;
- Measuring the impact to which programme/project implemented in the department meets its objectives and goals;
- Coordinating, promoting and disseminating M&E findings to support service delivery improvement, and report on whether follow-up action was taken or not;



- Assessing the M&E capacity within the department and conduct periodic training on M&E to build the requisite skills internally and to create a culture of self-assessment among all staff;
- The setting of standards and principles on M&E (as outlined in this framework and the M&E Plan) and ensuring their application across the department;
- The design and implementation of data collection tool;
- Implementing a responsive evaluation programme which will help to ensure that the department's mandates are realized;
- Act as an M&E resource to the department providing advice, insight on good practices and support for the effective use of M&E as a management tool;
- Work in collaboration with Statistics SA (Limpopo branch) to ensure that detail required by Statistics SA in terms of national data be complied with and principles of quality data is incorporated into the various M&E products.

### *10.3 Role designation*

The roles, responsibility and accountability in relation to monitoring, evaluation and reporting rest with:

The MEC of Education- as a political head of LDE and M & E matters.

Head of Department- As accounting authority of LDE and its M & E findings

Deputy Director General (DDG) -As custodians of programmes and projects and implementers of M & E findings.

Chief Director - Custodians of programmes and projects and implementers of M & E findings.

Director - Custodians of programmes and projects and implementers of M & E matters.

Chief Financial Officer- Custodian of LDE resources for implementation of M & E activities.

Chief Director - Strategic Planning- Supervisor on M & E matters.

Deputy Directors - As custodians of programmes and projects

**Roles and responsibilities are set out as follows:**

**Member of Executive Council (MEC)**

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

**Head of Department (HoD)**

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

Submit a reports to bodies referenced in Section 7;

Ensure that department maintains up appropriate performance information systems;

Ensure there is senior management buy-in to M&E;

Ensure that prompt action is taken in response to M&E findings;

Ensure that departmental resources are allocated to conducting M&E;

Publish M&E information;

Ensure that appropriate capacity exists for monitoring and evaluation function;

Ensure that M&E system is operating effectively.

**Deputy Director Generals (DDG)**

Deputy Director Generals are responsible for:

Establishing and maintaining the performance information processes and systems within their areas of responsibility;



Ensuring information is available within the stipulated time and format to the HoD, with means of verification;

Ensuring that M&E functions are included in the performance agreements of their staff;

Ensuring the integrity of information provided;

Utilising data and information for decision-making;

Ensuring that projects are designed with M&E functionality;

Developing an M&E Plan for their area of responsibility.

### **Chief Directors (CD)**

Chief Directors are responsible for:

Establishing and maintaining the performance information processes and systems within their areas of responsibility;

Ensuring that information is available within the stipulated time and format to the SGM, with means of verification;

Ensuring that financial information is on par and correctly relates to/with the performance information within the sub-branch;

Ensuring that M&E functions are included in the performance agreements of their staff;

Ensuring the integrity of information provided;

Utilising data and information for decision-making;

Ensuring that projects are designed with M&E functionality.

### **Directors**

Directors are responsible for reporting on performance to the Chief Directors. Their M&E responsibilities will include the following:

Maintaining auditable information relevant in the format and timeframes requested by the M&E unit;

Ensuring that **all required means of verification (MoV's)** are submitted to the M&E unit in the stipulated format and time;

Maintaining performance information systems within their sections;  
Monitoring programme performance within their units at all times;  
Ensuring integrity of information provided;  
Utilising data and information for decision-making;  
Ensuring that projects are designed with M&E functionality;  
Developing data collection tools for relevant indicators;  
Providing financial information in the format and within timeframes requested by the budget, salaries and expenditure sub-branch;  
Developing an M&E Plan for their area of responsibility.

#### **Chief Financial Officer (CFO)**

The CFO is responsible for:

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

#### **Director Monitoring and Evaluation**

The Director Monitoring and Evaluation is responsible for:

Coordinating the monthly, quarterly and annual performance reports;  
Ensuring that verification of performance information against source documents are correct;  
Ensuring that submission of reports take place in accordance with legislative requirements;  
Management and evaluation of the reporting policies and procedures;



Ensuring that reports and M&E findings are taken into consideration in **strategic planning** processes;

Ensuring that consolidated monthly, quarterly and annual reports are aligned to SPP/APP;

Ensuring that the M&E Plan is implemented

### **Directors**

Middle managers (Level 11 – 12) including district managers are responsible for reporting on performance to the Director in order to ensure that they fully discharge the above responsibilities, including:

Providing of monthly, quarterly and annual reports to programme managers;

Providing of project/programme report within 5 days after completion of projects/programmes;

Ensuring the inclusion of M&E processes/procedures in project/programme planning, formulation and implementation;

Ensuring the quality of the data collection and design of data collection tools;

Providing financial information in the format and within timeframes requested by the senior managers;

Maintaining auditable information relevant to their areas of control to substantiate all financial amounts and performance information;

Ensuring that all means of verification is submitted to Director's offices in the stipulated format and time;

Providing performance information in the format and timeframes requested by senior managers;

Maintaining the performance information systems within their areas of responsibility;

Using performance information to make decisions;

Conducting review meetings before departmental review meetings take place.

### **Lower level officials**

All other officials are responsible for:

Reporting on a monthly, quarterly and annual basis against individual workplan;

Capturing of data;

Ensuring the collection and submission of means of verification within stipulated timeframes utilising departmental tools and templates;

Ensuring the utilisation of departmental tools and templates;

Ensuring that means of verification being submitted is relevant to the particular indicators;

Preparing projects and or activities and submitting those to supervisors within stipulated timeframes.

Non-compliance with these procedures may result in the department not meeting its monitoring, reporting and evaluation obligations, whereas late submission and non-submission reduces the value of the information to being historical as decisions should have been taken based on the basis of accurate information. Failure to provide information is not only illegal and grounds for sanctions under the PFMA (Public Finance Management Act) to take effect, but also reflects poor management and work ethic. Accordingly, managers and supervisors will be expected to comply with these responsibilities.

## **11 ORGANISATIONAL LOCATION, STRUCTURE AND BUDGET OF THE M&E UNIT**

As of June 2018 there is not a succinct M&E Unit monitoring and evaluating the LDE's programme performance, but following the implementation of the new structure of the Department the unit will stand a chance to absorb as per qualifications employees who are in excess. As for now there is only a director M & E position which is occupied.

An M&E Unit is established and located in Strategic Planning Branch. It is led by an officer at the Director level.

The M&E Unit consist of:

1X Director

2 X Deputy Directors

2 X Assistant Directors



1 X Personal Assistant

The department provides a budget allocation over the MTEF period in order to implement the Departmental Monitoring & Evaluation Framework and Plan and to realise the objectives associated with the realisation of the departmental strategic objectives, outcomes and impact.

## **12 MONITORING AND REPORTING FRAMEWORK**

### **12.1. Performance Reporting**

**Monthly Reporting:** This will be undertaken according to templates issued by the Chief Directorate: Strategic Planning for the purpose of presentation and submission to Executive Management Committee (EMC).

**Quarterly Reporting:** This will be undertaken according to templates issued by the Research Policy and Strategic Unit for the purpose of presentation and submission to Executive Management and its meetings.

**Annual Reporting:** This will be undertaken according to templates issued by the M&E Unit for the purpose of presentation and submission to Executive Management and its meetings.

Completed Programme monthly, quarterly, and annual reports, and tools thereof, must be overseen by the relevant General Manager before being dispatched to the M&E Unit. Performance monitoring and evaluation outputs will be dispatched to heads of branches and the Head of Department for decision making and corrective action. Performance Reporting will be based on the Departmental Monitoring and Evaluation Plan developed at the beginning of each term of governance cycle while Annual Performance monitoring shall be based on the approved annual Performance Plan developed in line with the 5 Year Monitoring and Evaluation and the Strategic Plan of the department.

## **12.2. Monitoring and Evaluation Tools**

The M&E Unit introduces monitoring and evaluation tools as per the programme intervention one being a general M&E tool and the other for use in tracking missed targets. However, this is done in alliance to tools from DBE which forms critical and most important and major part of M & E.

Monitoring and Evaluation Tool 1: Is an electronic word based tool that indicates progress against targets as per the Annual Performance Plan, the gaps in performance and reasons for deviations and interventions.

Monitoring and Evaluation Tool 2 will be a tool that indicates corrective measures on performance gaps by identifying a future plan, responsible person and deadline for corrective action to overcome the identified performance gap.

Monitoring and evaluation Tool 3: Is a tool to monitor running of national Senior Certificate examination

Monitoring and Evaluation Tool 4: Monitoring readiness of the Provincial Schools to the writing of Grade 12 Examination.

Monitoring and Evaluation Tool 5: General school functionality monitoring tool

Monitoring and Evaluation Tool 6: In-house and DBE monitoring tools for PPM107

Other tools are created as per demand and nature of data to be collected.

## **12.3. Data Collection and Means of Verification**

The process of monitoring and evaluation will involve the collection of information as evidence of performance and this will be done according to the SMART targets set for realistic measurement. The means of verification (MOV) will be determined during the planning process when indicators and targets are finalised to ensure that such indicators are measurable. The CREAM system of identifying indicators will be used where the indicator has to be Clear, Relevant, Economic, Adequate and Monitorable. The M&E Unit will develop the means of verification plan template to be completed by Heads of Branches for the development of the M&E Plan. The following programme documents will be used as means of verification (MoV) for monitoring and evaluation in the LDE:

- Attendance registers;

- Minutes of meetings;
- Financial Reports;
- Monitoring Reports;
- Analysis/statistical Reports;
- Performance Progress Reports;
- Presentations/reports to stakeholders;
- Policy Implementation reports; and
- Research Reports.

Performance data will be gathered by branches and this will be collated on a daily basis and/or as per demand. For this to happen, line managers have to provide credible means of verification, put systems and processes in place - bearing in mind the time, effort and cost factors of measuring such indicators.

There are different ways of data collection and the LDE will use the following data collection methods:

- Secondary data e.g. Data from scientific bodies such as STASSA, Research councils, Sector documents and institution of higher learning.
- Surveys: This will mostly be used for quantitative data collection.
- Interviews: These will involve informal, semi-structured or topic base, Focus groups and community interviews.
- Participatory Rapid Appraisal tool: This involves Mapping, ranking, schedules, and diagrams.

#### **12.4. Data Analysis**

Performance data analysis will be analysed by the M&E Unit by:

- Checking the alignment of performance targets with the APP;
- Analysing performance reports by comparing actual achievements with the planned outputs;
- Strategising around performance gaps with corrective measures and actions;
- Analysing and verifying the credibility and validity of the proposed means of verification for the targets through inspection and document analysis;

- Providing feedback for branch correction and clarifications;
- Compiling departmental performance analyses for presentation to Executive Management.

#### **12.4.1. Data Management and Storage**

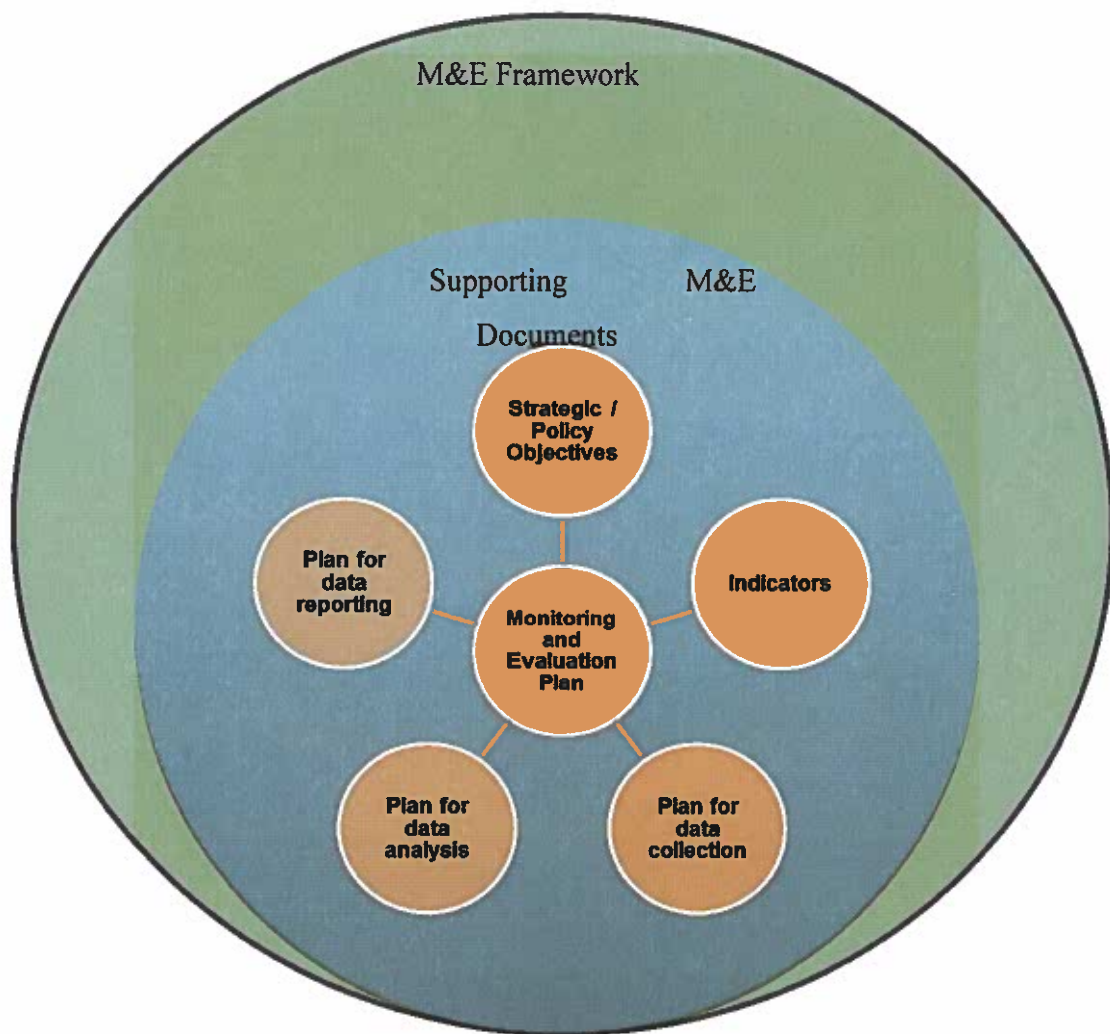
Performance information will be stored electronically by the M&E Unit while hard copies of the performance information will be stored by the Records Management Unit.

#### **12.4.2. Link between the Monitoring and Evaluation Framework and the Monitoring and Evaluation Plan**

Performance Reporting shall be based on the Departmental Monitoring and Evaluation Framework and Plan developed at the beginning of each term of the governance cycle while Annual Performance Monitoring shall be based on the approved Annual Performance Plan developed in line with the 5 Year Monitoring and Evaluation and the Strategic Plan of the Department.

Figure 1: M&E Framework, Plan and Supporting Documents





## 12.5. UNIFORM SECTOR DEFINITIONS OF CRITICAL M&E CONCEPTS

The terms Monitoring and Evaluation are often used interchangeably; these two functions actually play two distinct but mutually dependent and complementary roles. In line with the Government-wide Monitoring and Evaluation Policy Framework of 2007, the term “monitoring” is defined as follows:

“Monitoring involves collecting, analysing, and reporting data on inputs, activities, outputs, outcomes and impacts as well as external factors, in a way that supports effective management. Monitoring aims to provide managers, decision makers and other stakeholders with regular feedback on progress in implementation, results, and an early indication of problems that need to be corrected. It usually reports on actual performance against what was planned or expected”. To add, Bakewell (2003) define Monitoring as continuous systematic assessment of progress on a piece of work over time checking if progress is as planned.

Similarly, the term “evaluation” is defined as follows:

“Evaluation is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy makers. Evaluations assess in main relevance, efficiency, effectiveness, impact and sustainability. Impact evaluations examine whether underlying theories and assumptions were valid, what worked, what did not and why. Evaluation can also be used to extract cross-cutting lessons from operating unit experiences and determining the need for modifications to strategic results frameworks.

Other critical M&E concepts are defined as follows:

- **Inputs:** all the resources that contribute to the production and delivery of outputs. Inputs are "what we use to do the work". They include finances, personnel, equipment and buildings.
- **Activities:** the processes or actions that use a range of inputs to produce the desired outputs and ultimately outcomes. In essence, activities describe "what we do".
- **Outputs:** the final products, or goods and services produced for delivery. Outputs may be defined as "what we produce or deliver".



- Outcomes: the medium-term results for specific beneficiaries that are the consequence of achieving specific outputs. Outcomes should relate clearly to an institution's strategic goals and objectives set out in its plans. Outcomes are "what we wish to achieve".
- Impacts: the results of achieving specific outcomes, such as reducing poverty and creating jobs. It is normally achieved at long term basis.
- Performance Indicator (or "indicator"): a pre-determined signal that a specific point in a process has been reached or result achieved.
- Baseline: A description of the status quo, usually statistically stated, that provides a point of comparison for future performance
- Targets: Desired level of performance for a performance measure (e.g., client satisfaction target = 95%).
- M&E System: set of organizational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enable national and provincial departments, municipalities and other institutions to discharge their M&E functions effectively.
- Result chain or result based management: Causal sequence for developmental intervention stipulating sequence to achieve desired objectives from Inputs, Activities, outputs, outcomes to impact.
- Result framework: Causal sequence for development intervention stipulating steps to achieve objectives beginning from the Indicator, Baseline, Target, Assumption, Risk, type of Monitoring or evaluation making sure process leads to anticipated goal.

## 12.6. INDICATOR DEFINITION PROTOCOL

An indicator is simply an observable change or event providing evidence that something has changed as a result of project intervention. Indicator therefore shows there is effort, effect and change. The department identifies indicators in consultation with the sector, and specifically the national departments and is known as core indicators. National Department of Education has provided technical descriptions of all its indicators.

The province furthermore specifies particular indicators that relate to the LDP priorities and the Programme of Action. These are classified as provincial specific indicators that are particular to the Limpopo Province. The department then defines these indicators where they are not defined already. These are known as other indicators.

The department also specifies its own indicators to address the achievement of the SPP/APP core mandates and the Service Delivery Agreements. The indicators are determined based on ensuring the measure is relevant to the achievement of the outputs, outcomes & impact.

#### **12.6.1. Identification of indicators**

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

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

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

#### **12.6.2. Definition of indicators**

A good performance indicator should adhere to National Treasury guidelines and be:

- *Reliable*: the indicator should be accurate enough for its intended use and respond to changes in the level of performance.



- *Well-defined*: the indicator needs to have a clear, unambiguous definition so that data will be collected consistently, and be easy to understand and use.
- *Verifiable*: it must be possible to validate the processes and systems that produce the indicator
- *Cost-effective*: the usefulness of the indicator must justify the cost of collecting the data.
- *Appropriate*: the indicator must avoid unintended consequences and encourage service delivery improvements, and not give managers incentives to carry out activities simply to meet a particular target.
- *Relevant*: the indicator must relate logically and directly to an aspect of the institution's mandate, and the realisation of strategic goals and objectives.

### **12.6.3. Metadata relating to indicators**

For validation and auditing purposes, it is important to have comprehensive metadata (i.e. data about the data). The metadata for each of the indicators reported in the legislative institutions strategic and annual performance plan should contain:

- A detailed technical indicator description: The indicator title, a short definition of the indicator, the purpose/importance of the indicator, the source of data/collection of data, methods of calculation, data limitations, the type of indicator (input, activity, output, outcome, impact), calculation type (cumulative or non-cumulative), reporting cycle (monthly, quarterly, annually etc.), whether desired performance is higher or lower than target and whether the indicator is new, has been altered in comparison with the previous year, or is identical with that reported in the previous year.
- Performance management information relating to that indicator: who is responsible for providing the data, for collecting and collating the data, for verifying and for reporting the data relating to the indicator.
- The indicator set for each programme as well as their metadata will be described in the M&E plans, as these may change from year to year in alignment with the annual performance plan.



### **13. PREPARING FOR AUDITS OF PRE-DETERMINED OBJECTIVES**

The Auditor General will undertake a *pre-determined objectives* audit of all Departments.

In addition to performance in terms of meeting the objectives the AG's will include a determination as to whether the Department has an M&E Framework and if it is being implemented. Recently the AG has been taking M&E more seriously given the guidance of national mandates. Audits are coming to focus on input and output but more and more on outcome & impact.

The M&E Unit at LDE need to ensure that:

- During monitoring and reporting processes, audit evidence is collected.
- The M&E processes and procedures address all requirements of audit of pre-determined objectives
- M&E general processes address all requirements of Provincial Treasury in regards to audits of pre-determined objectives.

### **14. EVALUATION PROCESSES AND STANDARDS**

Although the department currently experiences critical resource constraints M&E must be mainstreamed in the development of project and programme plans. Programmes and project must take the requirements of monitoring and evaluation into consideration when developing project and programme budgets in order to ensure that the department can achieve efficient and effective project and programme design. Evaluations will then be linked to strategic plan timeframes and project and programme lifecycles.



The department would have to implement the establishment of process evaluations throughout the lifecycles of the project/programme and summative evaluations at conclusion of project/programme

- Formative evaluation at beginning of project/programme- Focusses more on Inputs, Activities, outputs, impact and outcome anticipated.
- Process evaluation at mid-point of project/programme- **Focusses on Inputs, activity and output.**
- Summative evaluation after conclusion of project/programme- **focussing on outcome and impact.**

Evaluations will be conducted for projects and programmes for which the department is directly responsible and accountable. It is essential for the department to have clarity on what evaluations have been conducted by the National Department of Education. Evaluations must focus on such projects and programmes that address the priorities and mandates of the department.

In executing each individual programme or project evaluation, the following steps will generally be followed:

- *Engagement with stakeholders* to define the programmes/projects or other interventions to be evaluated and the specific performance questions to be evaluated. These stakeholders will include senior management of the department, partners involved in programme delivery, those served or affected by the programme (e.g. educators) and other parties who have an interest in what will be learnt through the evaluation.
- *Planning and designing the evaluation:* Each intended evaluation will adhere to the M&E principles outlined above and have a detailed programme or project evaluation plan.

- *Conducting the evaluation:* This includes assembling evaluation evidence through methodologically sound collection of credible data using various methods: qualitative or quantitative, experimental, observational or some mixture of these.
- It also includes analysis of the data and the justification of evaluation conclusions/findings in relation to the evidence. The evaluation report should present a complete, fair and impartial assessment based on defensible information. The report should be timely, clear and user friendly.
- *Sharing lessons learnt and follow-up:* The findings of evaluation processes should be communicated in ways that will be easily understood and acted upon by stakeholders. Follow-up should be undertaken to see if policy, programme or project design and implementation take evaluation findings into account.

Where there are agreements in place the department will engage in joint evaluations with other departments e.g. Office of the Premier and other institutions of interest such as the local based universities of Venda and Limpopo.

## 15. MULTI-YEAR EVALUATION PLAN

Evaluations will be arranged to commence in full force in **2019**. Evaluations can and will only be identified through consultation processes with line managers. Leading priorities have been identified in Section 8 of this document.

Evaluations will be prioritized in the following areas in connection with the four pillars of LDP Output 1: **Quality Basic Education** which comes from improved:

Quality of teaching & learning

Early Childhood Development (ECD)

Learner Performance

Accountability systems within the department



## 16. CHANGE MANAGEMENT FOR M&E

In executing each individual programme or project evaluation outlined in the departmental evaluation plan, the following steps will be followed:

- Engagement with stakeholders to define the programmes/projects or other interventions to be evaluated and the specific performance questions to be evaluated. These stakeholders would include senior management in the Limpopo Department of Education (LDE), partners involved in programme delivery, those served or affected by the programme (e.g. educators, parents, etc.) and other parties who have an interest in what will be learnt through the evaluation. In this case, education M & E practitioners in the districts should play critical role in supporting M & E activities in their districts.
- Planning and designing the evaluation: Each intended evaluation will have to adhere to the M&E principles outlined above and have a detailed programme or project evaluation plan (see Appendix 2).
- Conducting the evaluation: Evaluation evidence will be assembled through methodologically sound collection of credible data using various methods: qualitative or quantitative, experimental, observational or some mixture of the above. It also includes analysis of the data and the justification of evaluation conclusions/findings in relation to the evidence. The evaluation report should present a complete, fair and impartial assessment based on defensible information. The report should be timely, clear and user friendly.
- Sharing lessons learnt and follow-up: The findings of evaluation processes should be communicated in ways that will be easily understood and acted upon by stakeholders. Follow-up should be done to see if policy, programme or project design and implementation take evaluation findings into account.



<b>1. M&amp;E should contribute to improved governance</b>	
<ul style="list-style-type: none"> <li>• Transparency</li> <li>• Accountability</li> <li>• Participation</li> <li>• Inclusion</li> </ul>	<ul style="list-style-type: none"> <li>• All findings are publicly available unless there are compelling reasons otherwise.</li> <li>• Use of resources is open to public scrutiny.</li> <li>• Voice is provided to historically marginalized people.</li> <li>• Traditionally excluded interests are represented throughout M&amp;E processes.</li> </ul>
<b>2. M&amp;E should be rights based</b>	
<ul style="list-style-type: none"> <li>• Bill of Rights</li> </ul>	<ul style="list-style-type: none"> <li>• A rights based culture is promoted and entrenched by its inclusion in the value base for all M&amp;E processes</li> </ul>
<b>3. M&amp;E should be development-oriented – nationally, institutionally and locally</b>	
<ul style="list-style-type: none"> <li>• Pro-poor orientation</li> <li>• Service delivery and performance</li> <li>• Learning</li> <li>• Human resource management</li> <li>• Impact awareness</li> </ul>	<ul style="list-style-type: none"> <li>• Poverty's causes, effects and dynamics are highlighted and the interests of poor people are prioritized above those of more advantaged groups.</li> <li>• Variables reflecting institutional performance and service delivery are analysed and reviewed, links are identified and responsive strategies are formulated.</li> <li>• Knowledge and an appetite for learning are nurtured in institutions and individuals.</li> <li>• The skills required for deliberative M&amp;E are available, fostered and retained while the knowledge needed for strategic HR utilization is available and used.</li> <li>• The possible impacts of M&amp;E interventions are considered and reflected upon in plans and their actual outcomes are tracked and analyzed systematically and consistently</li> </ul>
<b>4. M&amp;E should be undertaken ethically and with integrity</b>	
<ul style="list-style-type: none"> <li>• Confidentiality</li> <li>• Respect</li> <li>• Representation of competence</li> <li>• Fair reporting</li> </ul>	<ul style="list-style-type: none"> <li>• Processes ensure the responsible use of personal and sensitive information.</li> <li>• Promises of anonymity and non-identifiability are honoured and relied upon</li> <li>• Dignity and self esteem is built amongst stakeholders and affected people.</li> <li>• There is skilful and sensitive implementation of M &amp; E processes.</li> <li>• Those engaged in monitoring and evaluation fairly represent their competence and the limitations of their reports.</li> <li>• Reporting provides a fair and balanced account of the findings.</li> </ul>
<b>5. M&amp;E should be utilisation oriented</b>	
<ul style="list-style-type: none"> <li>• Defining and meeting expectations</li> <li>• Supporting utilisation</li> </ul>	<ul style="list-style-type: none"> <li>• M&amp;E products meet knowledge and strategic needs.</li> <li>• A record of recommendations is maintained and their implementation followed up.</li> <li>• An accessible central repository of evaluation reports and indicators is maintained.</li> </ul>
<b>6. M&amp;E should be methodologically sound</b>	
<ul style="list-style-type: none"> <li>• Consistent indicators</li> <li>• Data/evidence based</li> <li>• Appropriateness</li> <li>• Triangulated</li> </ul>	<ul style="list-style-type: none"> <li>• Common indicators and data collection methods are used where possible to improve data quality and allow trend analysis.</li> <li>• Findings are clearly based on systematic evidence and analysis.</li> <li>• Methodology matches the questions being asked.</li> <li>• Multiple sources are used to build more credible findings.</li> </ul>
<b>7. M&amp;E should be operationally effective</b>	
<ul style="list-style-type: none"> <li>• Planned</li> <li>• Scope</li> <li>• Managed</li> <li>• Cost effective</li> <li>• Systematic</li> </ul>	<ul style="list-style-type: none"> <li>• As an integrated component of public management, M&amp;E is routine and regularized.</li> <li>• The scale of M &amp; E reflects its purpose, level of risk and available resources.</li> <li>• Conscientious management of the function leads to sustained on-time delivery of excellence.</li> <li>• The benefits of M&amp;E are clear and its scale is appropriate given resource availability.</li> <li>• Robust systems are built up that are resilient and do not depend on individuals or chance.</li> </ul>



## 17. THE M&E CAPACITY BUILDING PLAN

As outlined in Section 10 managers at levels of the Department have core M&E responsibilities. At the very least such managers require skills to enable them to collect data, analysis and mostly interpreting such data. Every manager should also have the ability to identify appropriate indicators that speak to their programme's objectives.

The GWMES Policy Framework notes that M&E is multi-disciplinary, requiring different sets of skills of different stakeholders. However, some generic competencies are required of all managers involved in M&E. These skills include:

- Data collection / data management: At the very least this includes the ability to define and implement indicators; constructing baselines and collecting, analysing and reporting performance data relative to the indicators.
- Data quality assurance
- Statistical analysis
- Communication, facilitation & report writing: To transfer / translate data into reports to guide decision-making and present findings so that it will impact on future planning
- Computer literacy and software skills (excel, PowerPoint)
- General research
- Project management
- Performance management
- Facilitation skills (for participative M&E)

The M&E capacity building plan will have three phases:

**Phase one:** Training of Strategic Planning & Research staff and M&E Steering Committee plan and develop a new Monitoring & Evaluation Unit and recruit appropriate staff.

Existing staff will need to have enough knowledge on M&E to recruit staff for the new Unit with appropriate specialist skills. Attendance at workshops, meetings, presentations, reading and participation in the development of the M&E Framework has already exposed Strategic Planning & Research staff to a range of M&E concepts and processes, as well as a view to the role of M&E at LDE. However, more formal training is needed and Strategic Planning & Research will approach Human Resources for funds for this purpose. However, as part of in-house capacity building, the Department forms part of the Provincial M & e Forum where there is a lot of insight sharing.

**Phase two:** M&E Unit performs baseline audit

Once the M&E Unit is operational one of the initial tasks will be to conduct a baseline skills audit of technical M&E and managerial skills among Departmental managers. The audit will determine the level of knowledge and skills currently in place for monitoring and to conduct evaluations. The M&U Unit will include its own staff members in the audit.

**Phase three:** Development and implementation of capacity building programme

Based on the audit findings skills gaps will be identified and from there a comprehensive M&E training and capacity building package for the Department developed. The findings should also inform recruitment and retention practices for the Department. (Recruitment needs to align with the particular M&E competencies required). The M&E Unit will consider which available M&E courses and curricula (or a combination of such) would be most suitable for the Department's identified needs.

A Capacity Building Plan will be developed and will outline the need according to the M&E roles and responsibilities of managers and, importantly, the budget availability. The Plan is expected to include on-the-job training and mentoring but also structured skills transfer from universities, consultants and other external providers.



The department-wide M&E Steering Committee will have significant input into the process. In developing the Plan the department will also consult chapter 8 of the Limpopo Province M&E Framework and draw on input as required from the Office of the Premier.

It is also expected that informal M&E capacity building will take place during Strategic Planning Sessions where strategic documents are reviewed, or alternatively on a one-on-one basis where the M&E practitioner assists a project or programme manager to develop appropriate indicators and measurement tools. Review sessions at provincial and district and levels will provide further opportunities for instructive interaction around M&E concepts and practices as they relate to LDE. M&E training capacity building within the Department will take place through formal and informal approaches and provide both generic and specialist M&E training. The Limpopo Provincial M&E Framework notes a range of informal M&E capacity buildings interventions that the Department will consider to enhance the capacity of managers to apply effective and efficient monitoring and evaluation. These include the production of a regular newsletter, holding expert workshops, establishing an M&E think tank or champion's network.

In developing the M&E capacity building programme the Department will also look at creating other possible internal M&E forums, or integrating M&E issues into existing forums, and will also promote participation in external learning networks. As a first step LDE has joined and become an active participant in the Provincial M&E Forum as of 2018.

As previously noted, all managers have basic M&E responsibilities which require some element of data collection, analysis and, in particular, information interpretation. In determining information needs, a manager should be able to identify appropriate indicators that speak to their objectives.



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

There are a range of possible interventions to build M&E capacity in the short-, medium- and long-term. These include:

- Recruitment of appropriate specialist skills. These include not only generic M&E skills, but also individuals with appropriate sector expertise.
- Training of existing staff; this includes both line management and M&E specialists. Training modalities can include external formal qualifications from higher education institutions as well as in-house customized courses.
- On-the-job training and mentoring.
- Structured skills transfer from academics, consultants and other external providers.
- Creation of internal M&E forums and participation in external learning networks.

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

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



## 18. NEXT STEPS INSTITUTIONALISING EFFECTIVE M&E WITHIN THE DEPARTMENT

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

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

In the short to medium terms the following measures will be taken at LDE.

- A department-wide M&E Coordinating Committee, whose membership will staff at the senior manager level, will be developed as soon as possible to coordinate the role out of the M&E system and assist in the establishment of the new M&E Unit.
- The process of securing an M&E budget will be continued
- Ensure that M&E functions are reflected in the operational plan
- The department will address the priority needs as identified in section 8, with a particular focus on evaluations.
- Communicate the framework across the Department (via literature and presentations)
- Identify key stakeholders to sit on an M&E coordination committee and prioritize such persons for capacity building.
- The M&E Unit is established and will be staffed through recruitment of skills during the final implementation of new structure which is currently (2018) taking place.



Overall, the department will strive to build the necessary capacity to render the monitoring and evaluation function. Specifically, the department will aim to develop, acquire and retain capacity requirements as set out in the Limpopo Provincial Government Monitoring and Evaluation Framework (Revised 2018), in addition to section of the department's own M&E Framework.

## **19. REVIEW AND CONTINUOUS IMPROVEMENT OF THE M&E FRAMEWORK**

The M&E Unit, with the support of Quality Assurance and Education Planning Branch, will ensure that departmental officials are well versed with the contents of the M&E Policy Framework. To bolster the aim of widespread understanding of M&E functions within the department, the Policy Framework will be rolled out at provincial and district level. It is envisaged that managers apply the Policy Framework to their own areas of operation as M&E is the responsibility of each and every manager.

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

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

**The M&E plan forms part of this framework as an appendix.**



## **20. DEVIATIONS**

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

## **21. INCEPTION DATE**

The commencement date of this Policy will be with effect from the date signed by the Executive Authority and the policy will be reviewed every second year.



# 1. APPENDIX 1: LAYOUT OF A PROGRAMME OR PROJECT EVALUATION PLAN AND REPORT

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

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



## 2. APPENDIX 2: THE DEPARTMENTAL M & E STRATEGY

- Introduction

This is the Monitoring and Evaluation (M & E) Strategy aimed at making sure issues of M & E are shared and implemented in a result based oriented manner. It also identified stakeholders and ways through which they are expected to contribute in improvement of quality of education in Limpopo.

- Background

Systematic Monitoring and Evaluation is fairly new in Government. The Department of Land Affairs established M & E unit in 1995. This was followed by the Public Service Commission that introduced promotion of excellence governance in 1996. It was in 1997 when few government departments started implementing M & E units. In 2001, the framework for managing programme performance information was introduced. The DPISA lead in development of Government Wide Monitoring and Evaluation Framework. The Department of Planning, monitoring and Evaluation (DPME) was then established in 2009 and is taking lead in all government M & E activities.

- Legal mandate

Constitution of the Republic of SA  
Government Wide M & E System  
National Government Evaluation Policy Framework  
SOPA and Budget Speech pronouncements  
Provincial PM&E Framework  
LDP 2015/9

SASA

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- The M & E Opportunities

The DPME has developed different guidelines to conduct the M & E activities across the country and these are appropriate to monitor and evaluate all government programme interventions. The office of the Premier also established the Provincial M & E forum which assist M & E practitioners to share activities from their different departments. The LDE (Head office M & U Unit) has also established working relationship with M & E practitioners in education districts to make sure activities across the province are coordinated. Findings of M & E are also implemented at top management decision making. This is strengthened by the follow-up monitoring and evaluation meetings coordinated by DPME. This provides conducive M & E opportunity as M & E units get respect and resources due to pressure from DPMP.

- Strategic emphasis

The strategy emphasises the presidential call for Government to accelerate the ways in which it provides services. The campaign well-known as "Thuma Mina", Send me, create good impression that the government will speedily improve living condition as each employee will deliver in an improved manner. The strategy emphasise the following:

- Improvement of M & E tasks- Continuous Monitoring and periodic evaluation becomes key.
- Improve relationship between the department and the stakeholders
- Entrench the brand LDE into people's minds by making sure line managers fulfil their tasks as promised to the communities.
- Improve quality of data gathered in department and have positive impact on decision making.



- Context and scope

This strategy is implemented when the term of current administration comes to an end as the nation goes to a national election in 2019. This demands for government departments to make sure that plans for the term of office are finalised. It is time again for the programmes and projects to be delivered as per plans and continue to be result based in line with the need for provisioning of proper inputs, activities, outputs, outcomes and impact. The strategy is also implemented when the community members have lost interest and confidence in government as this was experienced during the leadership of the recent resigned president. They associate government then with crime and corruption. Current presidency has a challenge to bring back the confidence of the communities in government service delivery processes.

- The M & E Environment

The M & E activities have been conducted as a simple task just to comply without deepening the need for it to be done systematically and concentrate on quality end product. This however is getting improved year after the other. It is seen all over that each and every programme and project of government is systematically monitored and evaluated.

The fact that there is DPME overseeing activities of M & E across the country makes M & E even more important across all spheres of government. However, at times it becomes hard to conduct M & E as the community at times do not want to hear challenges of service delivery but only what they want even though it is not implementable. This is following the rights promised by constitution and other laws to community members of South Africa. It can also be argued that most of the community members practice the notion of "What must government do for me and not what can I do for my government?". On the other hand, M & E has been made easy as there are even more communication platforms (e.g. Hotlines, e-mails, Imbizos etc) between government and the communities. The challenges they raise through these platforms makes it easy for M & E practitioners to follow the lead and work with programme implementers to speed up service delivery.

It also pleasing that programme implementers do welcome the effort of M & E practitioners even though there are few who still regard M & E activities as “policing” activities.

- The M & E Challenges
- Lack of political will in taking and using M & E findings
- The M & E findings not used in decision making
- The M & E unit not well resourced (Funding and personnel)
- Slow pace and/or reluctance of programme implementers in providing information needed for M & E
- The M & E strategy objectives
- Improve service delivery processes through continuous monitoring
- Improve quality of data collected for M & E purposes
- Improve and consolidate M & E activities across all educational districts.
- Improve departmental MPAT rating

- Data collection techniques

The M & E data will be collected through the implementation of research methods of quality, quantitative and triangulation (Use mixed methods). The techniques of survey, interviews, secondary data sourcing and Participatory Rapid appraisal tool will be implemented. It is therefore imperative that line functions verify information provided to M & E practitioners. Data collection will also involve using focus groups, Individual interviews, formal social survey, participatory technique, observation, participatory observation, secondary information, technical geographical surveys and financial audits.

- Channels of reporting

Depending on the nature of analysed data, report back will be in a form of meetings, reports and workshops. Meetings work better for authority to give report back in a formal setting. Reports are provided to authorities and therefore cannot function to report back to the masses. Workshops are proper for target audience that have to implement lessons learnt out of M & E findings.

- The use of M & E data

Data findings is used for:

- Accountability: The information needed to account to beneficiaries, donors etc.
- Learning: Data analysis findings should provide lessons to be used in future project implementation.
- Building up organisational memory: Findings of M & E are used to keep memory of the department as they provide baseline information.
- Communication: Adopting participation process of M & E will improve communication between stakeholders.

- The M & E Stakeholders

The stakeholders include the following:

- The DPME- The DPME plays overseeing role on both service delivery and monitoring and evaluation activities.
- Office of the Premier (OtP): The Monitoring Branch of the OtP plays oversight role over all the provincial departments and other government institutions. The OtP has established the Forum which is a platform to share M & E matters.

- The District M & E Practitioners: They conduct the M & E activities in districts and submit the reports to Head Office for consolidation of provincial quarterly report.
- Community members: These are most important stakeholders who are consulted time and again to share with them service delivery progress.
- Institutions of Higher Education: There is also ready the relationship between Research sections of the universities of Venda and Limpopo with the Office of the Premier M & E branch. This is handy for collaboration with departmental M & E unit.
- The strategic techniques of data collection

When collecting data from participants, the researcher should consider the following:

- Approach: Use appropriate form of approach e.g. It may be better to walk in a village than driving, do not be in large numbers and be sensitive and considerate.
- Warm-up: Do not go directly subject at hand but have some warming-up approach.
- Dialogue: Be natural and relax and be flexible and do not be aggressive defensive.
- Departure: Do not end discussion abruptly as this can seem very rude. Do farewell the local style.
- Recording: Always record the date, place of interviews unless if interviews are confidential.

- **Important issues in monitoring and evaluation project intervention**

Data collection tools will be determined by the following:

- The nature of the project: The project goals, activities, size and location will affect how information will be gathered.
- The type of indicator involved: Some methods are more suitable to gather quantitative data while others are good for qualitative.
- The time frame involved: If monitoring is done on daily changes a diary may be used but if change is expected over a period then the semi-structure interview may be important.
- People available: Different tools need different skills to use them. So one has to understand themselves compared to the task and also people involves such as stakeholders and beneficiaries.
- Funds availability: Funds will determine methodology to be implemented.
- People's interest in participating: Level of interest will affect the end product.
- Purpose of data collection: It is when researcher knows what they want to use data for that they will collect it properly.



3. The M & E Plan for 2018

Activity plan	Purpose	Estimated timeframe	Estimated budget
1. Review of M & E Policy, strategy and plan	To update strategy in line with priorities of current financial year	Before 30 March in a cycle of three years	None
2. Stakeholder relation building	Building relationship with other M & E interest groups such as the practitioners in the districts	Quarterly	R5000 for in case catering is needed
3. Onsite Monitoring and Evaluation	To verify and ascertain quality of data captured for M & E	Three institutions (Schools) per quarter	Transport costs
4. Participation in Provincial M & E Forum	Quarterly participation in Provincial M & E Forum	Quarterly	None
5. The PPM107 study	To attest the satisfactory of principals with district support. This	4. Arrange with districts- May 2018	None- Use of internal resources.

	will improve learning and teaching	5. Data collection- June – September 2018 6. Analysis- October – November 2018	
6. Responding to DMPE and OtP M & E requirements	To have joint M & E improved participation	Per demand	Transport costs
7. Monthly, quarterly and annual M & E Reports	To keep proper records	Monthly or quarterly and/or annual as per submission compliance time-frames	None
8. The M & E capacity building	To strengthen performance	Quarterly Forum Meeting Government M & E training through institutions	Per availability


Compiled by Strategic Planning Sub-Branch



Chief Director

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Date

