



The Presidency  
Department of Performance Monitoring and Evaluation

Briefing to the Standing Committee on Appropriations on  
the Strategic Plan and Annual Performance Plan for the  
2012/13 financial year

Date of presentation: 26 April 2012

## Submission of revised Strategic Plan

- In March 2011, we submitted the first strategic plan for the Department for Performance Monitoring and Evaluation (DPME) to Parliament
  
- A revised Strategic Plan has now been submitted, to:
  - Take account of the additional mandate of managing the Presidential Hotline
  - Place more emphasis and focus on evaluations (Cabinet approved a National Evaluation Policy Framework on 23 November 2011)
  - Effect improvements to the plan based on comments from Internal Auditors and the Auditor General on our previous plan (including refinements of our outputs, indicators and targets)
  - Reflect further clarification of our mandates



# BACKGROUND



# Roles and Responsibilities for Planning and M&E in SA

## Auditor General

- Independent monitoring of compliance
- Auditing of performance information
- Reporting to Parliament

## Public Service Commission

- Independent monitoring and evaluation of public service
- Focus on adherence to public service principles in Constitution
- Reporting to Parliament

## National Treasury

- Regulate departmental 5 year and annual plans and reporting
- Receive quarterly performance information
- Expenditure reviews

## Cooperative Governance Dep't

- Regulate local government planning
- Monitor performance of local government
- Intervention powers over local government

## Public Service Dep't

- Monitor national and provincial public service
- Regulate service delivery improvement

## Presidency

- National Planning Commission:
  - Produce long-term plan (20 years)
- Department of Performance Monitoring and Evaluation
  - Produce government-wide M&E frameworks
  - Facilitate production of whole of government 5 year plans for priorities
  - Monitor and evaluate plans for priorities as well as performance of individual departments and municipalities

Constitutional mandate

Legal mandate

President and Cabinet mandate



# MAIN ROLES AND RESPONSIBILITIES OF DPME



# Custodian of Government-wide Monitoring and Evaluation Policy Framework

- Framework for Managing Programme Performance Information (National Treasury)
- South Africa Statistics Quality Framework (Statistics South Africa)
- Evaluation framework (Presidency (DPME)) approved by Cabinet in Nov 2011
  - Rolling three year and annual evaluation plans to be approved by Cabinet and Provincial Executive Councils
  - Focus on large or strategic programmes and those of significant public interest (e.g. housing, rural development)
  - Evaluations to be implemented by departments with technical support from DPME
  - Results will be reported to Cabinet and Provincial Executive Councils and will be in public domain
  - Departments to produce improvement plans based on the evaluations and implementation to be monitored
  - First evaluation on early childhood development currently informing revisions to National Integrated Plan for ECD
- As custodian for M&E in government, DPME is in process of putting in place range of monitoring and evaluation tools, practice notes, and guidelines



# Levels of focus for PM&E by DPME to date

## M&E of national priorities

- President entered into Performance Agreements with Ministers requiring focus on 12 priority outcomes
- 5 year results-based plans negotiated for priorities which cut across departments and spheres of government, revised periodically
- Quarterly progress reports are prepared by outcome coordinating departments and presented to Cabinet Committees
- DPME makes progress visible to public
- Cabinet-approved evaluation plan for key programmes, departments report on evaluations to Cabinet, evaluations to be made public

## Management performance M&E

- Focus on management performance of individual departments
- Collaboration between centre of government bodies
- Self-assessment methodology
- Reports provide management information to assist departments to improve
- Support offered to departments to develop and implement improvement plans to address key areas of weakness
- Programme designed and implemented in collaboration with provinces
- Reports on assessments provided to Cabinet and Provincial Executive Councils

## M&E of front-line service delivery

- Focus on monitoring of experience of citizens when obtaining services
- Results feed into departmental initiatives to improve frontline service delivery
- Programme designed and implemented in collaboration with provinces
- Results reported on to Cabinet and Provincial Executive Councils, with recommendations



## **M&E of national priorities**

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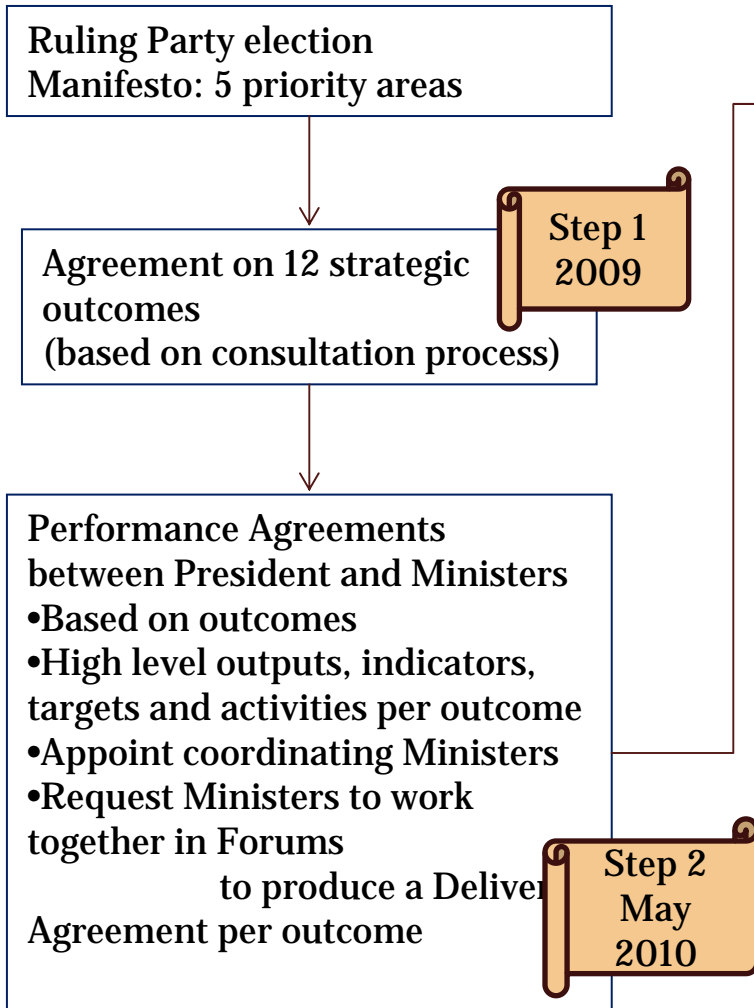
## M&E of national priorities

- Aim is to improve government performance by:
  1. Introducing whole-of-government results-based planning linked to key outcomes, clearly linking inputs and activities to outputs and the outcomes
  2. Implementing the constitutional imperative for cooperative governance by negotiating inter-departmental and inter-governmental delivery agreements for the outcomes
  3. Increasing strategic focus of government
  4. Making more efficient and effective use of limited resources through introducing more systematic monitoring and evaluation:
    - Identifying suitable indicators related to the priorities and regularly measuring and monitoring them, carrying out periodic evaluations
    - Using the results of monitoring and evaluation to:
      - promote evidence-based policy making
      - continuously improve government programmes to address the priorities

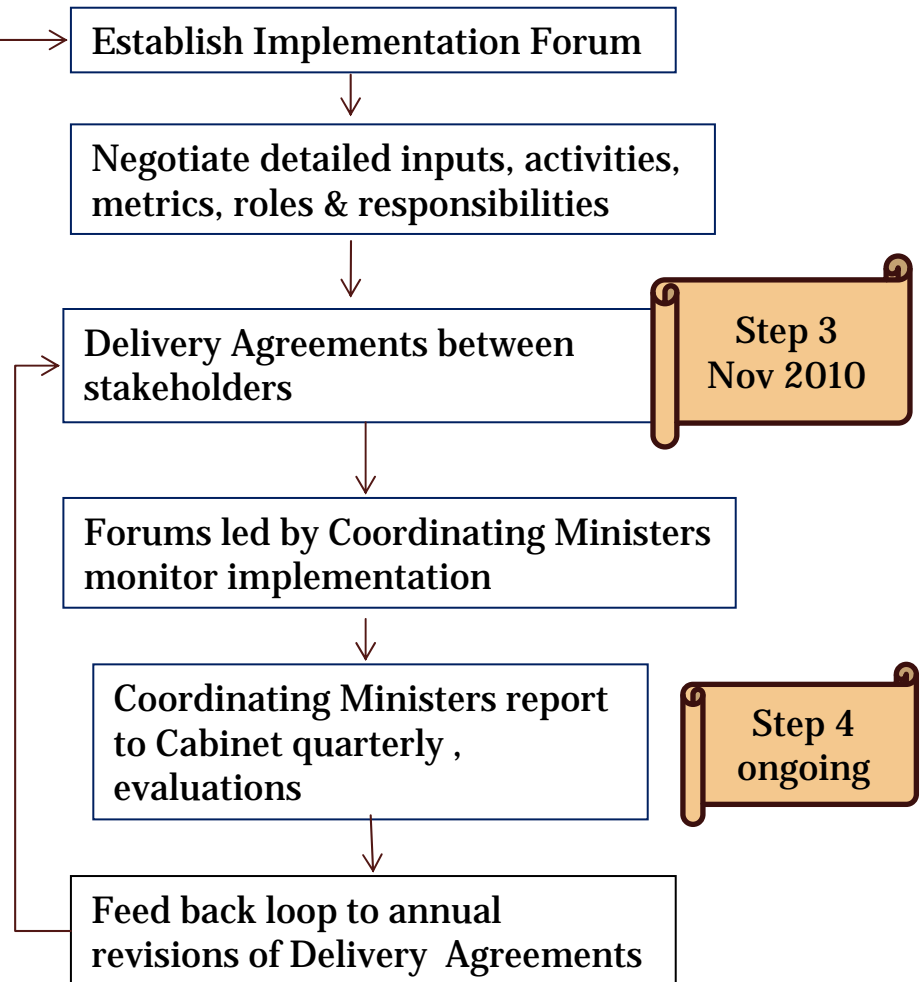


# Planning and M&E process for priority outcomes

## Agreement on priorities



## Negotiate plans, implement, monitor and evaluate



# The 12 outcomes

1. **BASIC EDUCATION:** Quality basic education
2. **HEALTH:** A long and healthy life for all South Africans
3. **SAFETY:** All people in South Africa are and feel safe
4. **EMPLOYMENT:** Decent employment through inclusive economic growth
5. **SKILLS:** Skilled and capable workforce to support an inclusive growth path
6. **ECONOMIC INFRASTRUCTURE:** An efficient, competitive and responsive economic infrastructure network
7. **RURAL DEVELOPMENT:** Vibrant, equitable, sustainable rural communities contributing towards food security for all
8. **INTEGRATED HUMAN SETTLEMENTS:** Sustainable human settlements and improved quality of household life
9. **LOCAL GOVERNMENT:** Responsive, accountable, effective and efficient Local Government system
10. **ENVIRONMENT:** Protect and enhance our environmental assets and natural resources
11. **INTERNAL AND EXTERNAL RELATIONS:** Create a better South Africa, a better Africa and a better world
12. **PUBLIC SERVICE:** An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship



# Overall successes with the delivery agreements to date

- For the first time, we have inter-departmental and intergovernmental plans (the delivery agreements) for key cross-cutting priorities
- Increased coordination
  - Process of producing delivery agreements resulted in a higher level of understanding of the challenges which other departments and spheres of government face, and how the work of the different departments and spheres affects each other
- Quarterly reports provide Cabinet with strategic agenda
  - Ensures that Cabinet regularly focuses on assessing progress with the achievement of the key priorities of government
- Emphasis on measuring results is working as a catalyst for change in government
  - Some departments are embracing the approach and focusing on measurable results and improving their data



## Challenges with the delivery agreements

- Difficult to keep Delivery Agreements short and strategic, tendency to be too long and detailed with too many indicators – not strategic and difficult to manage
  - Everybody would like their work to be included in the priority focus areas
- Lack of culture of coordination - ‘everybody else must change their plans to fit around my plans’
- Culture of public service – focus on activities than achieving outcomes
  - Tendency to produce process-indicators rather than indicators which measure actual improvements at output or outcome level
- Legal frameworks tend to favour the silo approach - focus on the accountability of individual ministers and accounting officers to Parliament



## ....challenges with the delivery agreements continued

- Information management systems to produce required data not yet fully in place in many departments
- Although National Treasury requires departmental strategic plans and annual performance plans to reflect commitments to delivery agreements, there are challenges in the translation of the delivery agreements into implementation programmes in individual departments
  - Difficult to find balance between coordination and leadership by the centre (DPME) on the one hand, and ensuring ownership by line function departments on the other hand, as opposed to compliance
  - Symptoms of compliance: setting of low targets, reporting on processes rather than results, production of the reports delegated to low levels in the organisation, lack of top management focus on implementation, monitoring and reporting
  - To date levels of ownership of the process vary across departments and sectors



## Focus areas for 2012/13 and MTEF

- Review of the Delivery Agreements – process currently under way
  - Core set of measurable indicators defined for outputs, with targets
  - Data sources specified and data availability clarified
  - Key activities logically connected to outputs and indicators – best known way to achieve outputs
  - Milestones for key activities defined, enabling proper programming and project planning
  - Implications for aligning departmental Strategic and Annual Performance Plans understood and reflected
- Improve functioning of Implementation Forums
  - Attend and monitor the functioning of IFs and report to cabinet
- Improve quality of quarterly reporting
  - Focus on more limited set of strategic indicators
  - Report on both activities and any changes to core indicators
- Assessment of departmental strategic and annual performance plans to establish alignment with outcomes



**Management  
performance  
M&E**

- Focus on management performance of individual departments
- Collaboration between centre of government bodies
- Self-assessment methodology
- Reports provide management information to assist departments to improve
- Support offered to departments to develop and implement improvement plans to address key areas of weakness
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# Management performance monitoring

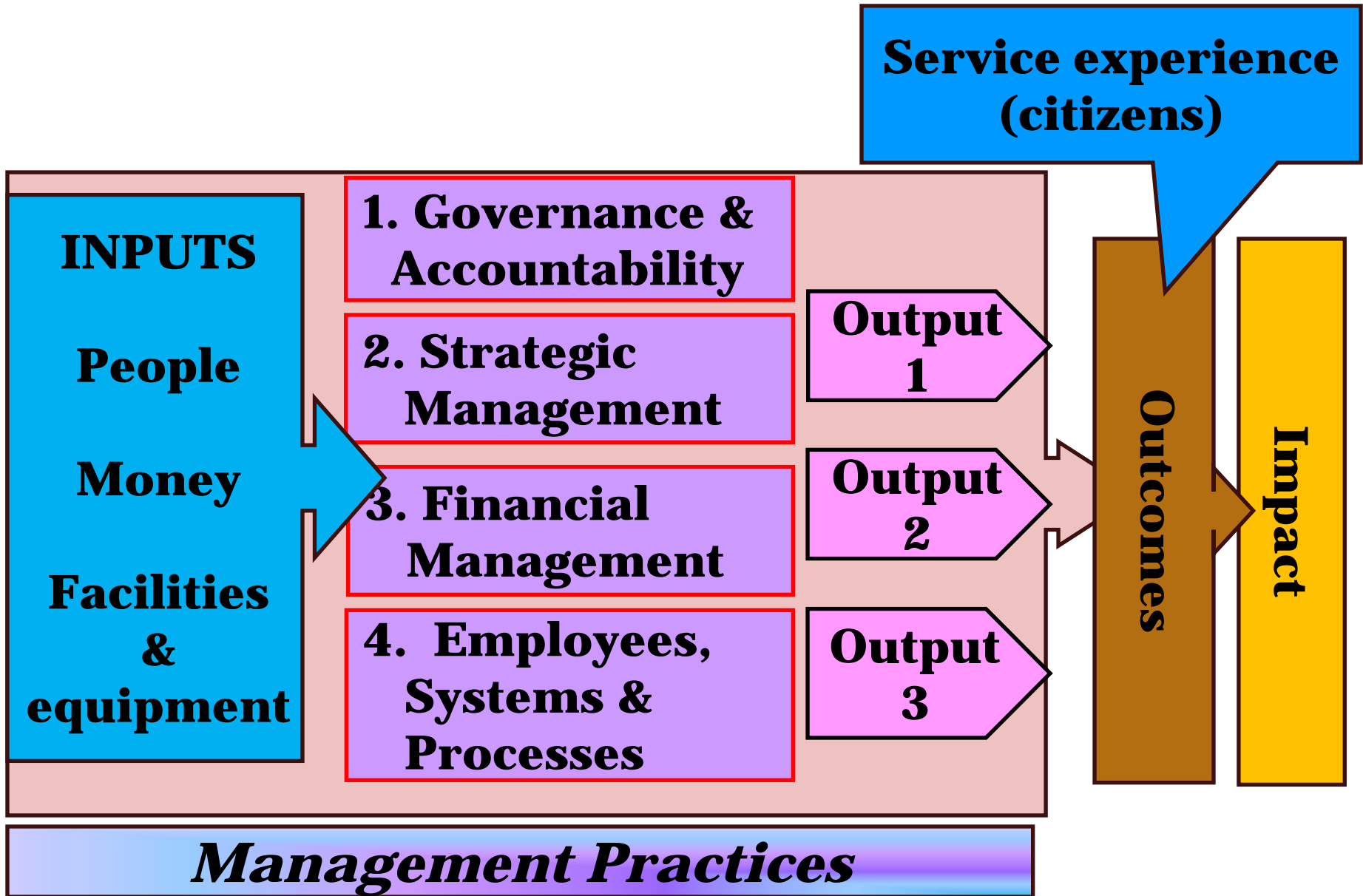
- 10 and 15 year reviews of post-apartheid government's performance concluded that a key challenge in SA is implementation of policies, which in turn is related to management weaknesses
- DPME has worked with other centre of government bodies to introduce a tool and methodology (MPAT) for assessing the management performance of departments
- Does not include assessment of policy and programme results
- Does not include assessments of the performance of individuals
- Programme is being implemented jointly with the provinces
  - DPME is leading performance assessments of national departments using the tool, Offices of the Premier are undertaking performance assessments of provincial departments, Offices of the Premier and provincial DCOG will assess municipalities
- Assessments started in November 2011
  - Aim to take first set of results to Cabinet and Provincial Executive Councils in May 2012



# Aims of management performance monitoring

- Collate existing management legislation and regulations into a single framework of standards and indicators of good management practice
- Draw on data produced by existing monitoring and performance management systems
- Enable managers to test their own management practices against others and identify management practice improvements that will enable improved service delivery
- Provide a basis for ongoing learning about improved management practices
- Catalyse improvements in management
- Enable the targeting of supporting programmes and interventions
- Establish baseline management performance of institutions against management benchmarks and enable tracking of improvements against the baseline performance





## **Strategic Management**

- Strategic Planning
- Programme Management
- Monitoring & Evaluation

## **Governance & Accountability**

- Service Delivery Improvement
- Management Structures
- Accountability
- Ethics
- Internal Audit
- Risk Management
- Delegations

## **Management Performance Areas**

## **Human Resource and Systems Management**

- HR Strategy and Planning
- HR Practices and Administration
- Management of Performance
- Employee Relations
- IT systems

## **Financial Management**

- Supply Chain Management
- Asset management
- Revenue Management
- Compensation to employees
- General
- Goods and Services
- Transfer Payments
- Liability Management

## Assessment process

1. DPME /Office of the Premier draws on secondary data (produced by existing tools, the Auditor General, the Public Service Commission, etc) to produce an initial overall assessment
2. Department carries out self-assessment using standard tool, validation by Internal Audit and HoD
3. Validation of self assessment against evidence, carried out by centre of government team
4. Engagement between the assessment team and leadership of the department to discuss results
5. Department develops improvement plan to address area of weakness
6. Presidency/Office of the Premier monitor implementation of improvement plan and report to Cabinet and Provincial Executive Councils



# SELF ASSESSMENT DESCRIPTORS

Level	Description
Level 1	Non-compliance with legal/regulatory requirements
Level 2	Partial compliance with legal/regulatory requirements
Level 3	Full compliance with legal/regulatory requirements
Level 4	Full compliance and doing things smartly

## 1.3 Performance Area: Monitoring and Evaluation

### 1.3.1 Indicator name: Use of monitoring and evaluation outputs

**Indicator definition:** Extent to which the department uses monitoring and evaluation information.

**Secondary Data:** AGSA findings on pre determined objectives – Reported information not reliable.

**Question:** Which set of statements best reflects the department's use of M&E outputs?

Statement	Evidence	Performance level
Department does not have an M&E Policy/Framework or does not have capacity to generate information.	<ul style="list-style-type: none"> <li>• Not required</li> </ul>	Level 1
Monitoring reports are available but are not used regularly by top management and programme managers to track progress and inform improvement.	<ul style="list-style-type: none"> <li>• Quarterly monitoring reports</li> <li>• Minutes of top management meetings or programme meetings to assess use of reports</li> </ul>	Level 2
Monitoring reports are regularly used by top management and programme managers to track progress and inform improvement.	<ul style="list-style-type: none"> <li>• Quarterly monitoring reports</li> <li>• Minutes of top management meetings or programme meetings to assess use of reports</li> </ul>	Level 3
<p>All above in Level 3 plus:</p> <p>Evaluations of major programmes are conducted periodically and the results are used to inform changes to programme plans, business processes, APP and strategic plan.</p>	<ul style="list-style-type: none"> <li>• All above in Level 3 plus:</li> <li>• Evaluation Reports</li> <li>• Changes to programmes and plans</li> </ul>	Level 4

## Link to individual performance management system

**Proposals are being developed to link the results of the performance assessments of departments with the performance assessments of Heads of Department.**

- Anomaly in current system: sometimes a Head of Department scores highly while the department is performing poorly
- DPME and DPSA have been working on proposals to link performance assessment of Heads of Department to results of performance assessments of their departments
  - Plan to take these to Cabinet soon
- Aim is to provide incentive for HoDs to focus on improving operational performance of their departments





## Focus areas for 2012/13 and MTEF

- Submit MPAT initial assessments to Cabinet by May 2012
- Review and refine management assessment tool based on the experiences in the pilot phase
- Document best practice
- Conduct assessments on 32 national and 80 provincial departments in 2012/2013



## **M&E of front-line service delivery**

- Focus on monitoring of experience of citizens when obtaining services
- Results feed into departmental initiatives to improve frontline service delivery
- Programme designed and implemented in collaboration with provinces
- Results reported on to Cabinet and Provincial Executive Councils, with recommendations



# Monitoring of frontline service delivery

- Commitment from the Executive to focus on frontline service delivery monitoring – President and Ministers are visiting institutions such as hospitals, schools, police stations and municipalities on an ongoing basis
- Executive monitoring is complemented by monitoring by officials of the Presidency and the Offices of the Premier
- DPME and Offices of the Premier have collaborated to establish a joint frontline service delivery monitoring programme
- Programme comprises of three components:
  - Sub-programme 1: Surprise visits by officials in DPME and the Offices of the Premier to service delivery points to assess the state of frontline service delivery
  - Sub-programme 2: Engaging with civil society to develop a structured approach for citizen-based monitoring of frontline service delivery
  - Sub- programme 3: Management of the Presidential Hotline as an effective service delivery monitoring and accountability instrument



## Visits by officials to service delivery points

- Focus is on government's five key priority areas and improvement targets set out in the Outcome 12 Delivery Agreement
  
- Pilot phase July – December 2011
  - Develop and test instruments (questionnaires and checklists) and approach
  - Training of officials in DPME and the Offices of the Premier
  - 122 monitoring visits conducted in 5 provinces – Gauteng, Limpopo, Mpumalanga, Free State and Northern Cape
  
- Initial selected service sites were Home Affairs Offices, Social Grant distribution offices, Police Stations, Health Facilities, Drivers License Centres and, in some provinces, Schools and Courts



# Aims of frontline service delivery monitoring visits

- Not intended to be a comprehensive and statistically representative sample
- Check whether:
  - service delivery standards are in place and being monitored
  - basic minimum management systems and practices are in place
  - basic information is available for users of the service
  - Government is meeting expectations of citizens
- Engagement with management before and after the visits
- Catalyse improvements
- Assist DPME and Offices of the Premier to identify where improvement initiatives should be targeted
- Enable DPME and Offices of the Premier and/or other relevant line function departments to facilitate or put in place interventions to address identified weaknesses
- Identify and give recognition to good front line service delivery practice
- Inform evaluations of government performance and performance of departments
- Outputs are reports on quality of frontline service delivery (provided to management of relevant departments and municipalities, political principals, Cabinet and Provincial Executive Councils)



# Approach to frontline service delivery monitoring visits

- Focus is on monitoring generic quality norms in all facilities
  - Location and access
  - Visibility and signage
  - Queue management and waiting times
  - Dignified treatment
  - Cleanliness and comfort
  - Safety
  - Opening and closing times
  - Complaints and compliment systems
  - Selected sector specific standards (for example police response time for calls to assistance)
  
- Monitoring results based on interviews with community users at the service site, interviews with staff as well as the observations of the monitors



## Initial findings

- Community users have been very appreciative of the presence of officials from the Presidency and the Offices of the Premier at service delivery sites
- General problems found during the pilot phase:
  - Internal signage to indicate to users exactly where they should go for the service they require is often lacking
  - Long waiting times are common
  - Very little evidence of active queue management, inappropriately trained security guards are often deployed as queue managers
  - Complaints and compliments systems are usually under-utilised
  - General lack of a visible presence of managers at the front-line of the service facilities
  - Wide-spread severe neglect of facilities management and basic maintenance
- DPME and Offices of the Premier currently focusing on discussing site-specific findings from the initial visits with office supervisors and national and provincial management structures
  - First reports to Cabinet and Provincial Executive Councils in February 2012



# Citizen-based monitoring

- DPME working on plan for citizens to monitor selected frontline service delivery against agreed standards
  - Citizens have responsibility to both hold government accountable and responsibility to work with government to ensure good practices are highlighted and poor quality services are identified and communicated to service points
- Some models already in place in SA, such as the Community Advocacy and Monitoring project of the South African Social Security Agency and the Black Sash
- Role of DPME, in partnership with other departments, will be to work with civil society to:
  - Develop the monitoring instruments
  - Agree on the process of receiving analysed reports and agree on how the information will be used for dialogue between citizens and government regarding improvements





# Presidential Hotline

- Important source of information for government-wide performance monitoring and evaluation, and for monitoring impact of government on citizens
- Enables government to track what are the important issues for citizens
- Enables government to track its responsiveness to the concerns of citizens
- Data collected from the interactions with citizens is an asset that can be effectively used for a number of policy, programming and monitoring purposes
- Cases received via email, letters, other sources are received, logged, routed to call agents
  - Some calls are referred by the call agents to staff at DPME
  - Most calls are referred by the call agents to national and provincial departments, municipalities, and public entities for resolution and response
- Hotline statistics:
  - 122 589 cases logged September 2009 to 31 January 2012
  - 500 – 1000 calls per day
  - Responsiveness has improved from 39% in November 2009 to 80% in January 2012
  - DPME regularly reports to Cabinet, Directors General on progress with case resolution per national department and per provincial department



# Focus areas for 2012/13 and MTEF

## ➤ FSLD

- Conduct 100 sites visits in 2012/13 and produce a national overview report on FSLD and submit to Cabinet and PCC
- DPME and Offices of the Premier to monitor implementation of improvement plans
- Encourage all provinces to participate in the programme
- Questionnaires, check-lists and reporting formats being improved
- Putting in place mechanisms for quality assurance of the monitoring visits
- Will follow up on previous monitoring visits undertaken by Office of the Public Service Commission, to assess whether their recommendations have been implemented
- Develop case studies and make available to DPSA, PALAMA and GCIS for training of frontline service delivery staff and managers
- Facilitate improvements initiatives on poorly managed sites



# Focus areas for 2012/13 and MTEF

## ➤ Presidential Hotline

- Address call throttling (call volumes exceed by a large margin the number of calls that can be accepted/ answered)
- Reduce call costs (toll-free line)
- Improve responsiveness, particularly by municipalities
- More analysis of data to inform service delivery improvement initiatives
- Investigate ways of making the hotline operate more smartly
- Rationalise and/or coordinate hotlines across government (may be as many as 60 in operation)
  - Compile and submit monthly cases resolution report and submit to FOSAD MANCO and the G&A cluster for monitoring and actioning

## ➤ Citizen –based monitoring programme

- Policy framework for citizen based monitoring programme approved by March 2013



# Promoting good M&E practice in Government

- DPME has established and is coordinating sectoral data forums based on the outcomes
  - Aim is to improve data collection in departments to enable evidence-based reporting on progress with the implementation of the Delivery Agreements for the outcomes
- DPME has also established a national forum for the heads of M&E in national departments and a provincial forum for the heads of M&E from the Premier's Offices
  - Share information and good practices
  - Collaboration on shared initiatives
- DPME worked with public service training body on curriculum development for M&E
- Putting in place range of M&E practice notes and guidelines



## Focus areas for 2012/13 and MTEF

- Carry out audits to establish baseline for M& capacity across government taking into account the MPAT assessments
- Draft Result Bill for consideration by stakeholders and /or approval by cabinet
- Develop/review guidelines (10) to support GW&E
- Convene 4 Data Forum meetings for 10 of the 12 outcomes
- Attain at least 10% improvement on data-sets and 50 new data-sets by March 2013.
- Develop and publish development indicators March 2013



# Structure of the department

- DPME consists of four main branches, aligned to main budget programmes
  - Outcomes Monitoring and Evaluation Branch
    - Outcomes approach; evaluation
  - Public Sector Oversight Branch
    - Performance monitoring of individual national and provincial departments and municipalities; monitoring of front-line service delivery; and the Presidential Hotline
  - M&E Systems Coordination and Support Branch
    - The POA; data management services for the department; development of M&E capacity across government
  - Administration Branch
    - Provides corporate and support services



## Establishment of the department

- The department currently has 195 posts on its approved structure
  - 130 are filled
  
- Based on current MTEF allocations the department will be able to expand to 170 staff in 2012/13 and 190 staff in 2013/14
  
- Establishment expected to remain constant over the current MTEF cycle (given budget allocations)



# Budget Summary

<b>Budget allocation per Programme</b>	<b>2011/12</b>	<b>2012/13</b>	<b>2013/14</b>	<b>2014/15</b>
Administration	33 571	59 841	66 651	68 710
Outcomes Monitoring and Evaluation	24 743	37 540	44 907	49 000
M&E Systems Coordination and Support	10 709	18 969	20 565	21 797
Public Sector Oversight	27 179	57 810	61 280	64 956
<b>TOTAL</b>	<b>96 202</b>	<b>174 159</b>	<b>193 403</b>	<b>204 463</b>
<b>Budget allocation per economic classification</b>	<b>2011/12</b>	<b>2012/13</b>	<b>2013/14</b>	<b>2014/15</b>
Compensation of employees	55 053	93 124	99 620	106 375
Goods and services	38 045	67 535	80 253	86 466
Payments for capital assets	3 104	13 500	13 530	11 622
<b>TOTAL</b>	<b>96 202</b>	<b>174 159</b>	<b>193 403</b>	<b>204 463</b>





# Thank you

Go to <http://www.thepresidency-dpme.gov.za/> for DPME documents

