



LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

Department of Public Works, Roads and Infrastructure: Monitoring and Evaluation Framework 2014/15-2018/19

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20. GLOSSARY OF TERMS

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| AfrEA | Africa Evaluation Association |
| APP | Annual Performance Plan |
| AoPO | Audits of Predetermined Objectives |
| BAS | Basic Accounting System |
| CFO | Chief Financial Officer |
| EPWP | Expanded Public Works Programme |
| FINEST | Financial Information Management System |
| GIAMA | Government Immovable Asset Management Act |
| GIS | Geographic Information System |
| GWM&E | Government-wide Monitoring and Evaluation |
| IDP | Integrated Development Plan |
| HoD | Head of Department |
| IDT | Independent Development Trust |
| IT | Information Technology |
| LEGDP | Limpopo Employment Growth and Development Plan |
| LDPW | Limpopo Department of Public Works |
| LPMIS | Limpopo Project Management Information System |

| | |
|--------|---|
| M&E | Monitoring and Evaluation |
| MEC | Member of the Executive Council |
| MIS | Management Information System |
| MTEF | Medium Term Expenditure Framework |
| PFMA | Public Finance Management Act of 1999 |
| PERSAL | Personnel Salary |
| PoA | Programme of Action |
| RCC | Request Call Centre |
| SAMEA | South African Monitoring and Evaluation Association |
| SP | Strategic Plan |
| SONA | State of the Nation Address |
| SOPA | State of the Province Address |

1. INTRODUCTION

The Limpopo Department of Public Works, Roads and Infrastructure developed an M&E Framework that aligns with the Provincial M & E Framework which was developed and adopted in April 2011. It is a narrative document articulating the approach that endeavours to create and operate a monitoring and evaluation system in the department with the aim to produce credible and accurate information on an on-going basis aimed at improving service delivery and governance. It should be read with the Strategic Plan (SP) and Annual Performance Plan (APP) and the Operational Plan. Importantly, the M&E Framework should be integrated with other Management Systems in the Department and subjected to a review after five years. The department hereby submit the review of the framework for the period 2014/15 to 2018/19 for approval

2. OBJECTIVES OF THE MONITORING & EVALUATION SYSTEM

The Government-wide Monitoring and Evaluation Policy Framework (2007) defines an M&E system as:

“... a set of organisational structures, management processes, standards, frameworks, plans, indicators, information systems, reporting lines and accountability relationships which enables national and provincial departments, municipalities and other institutions to discharge their M&E functions effectively. In addition to these formal managerial elements are the organisational culture, capacity and other enabling conditions which will determine whether the feedback from the M&E function influence the organisation’s decision-making, learning and service delivery.”

2.1 Overview of Quarterly Performance of Information

Quarterly performance reports provide progress on the implementation of an institution Annual Performance Plan in the previous quarter (Actual Validated data) and in the current quarter (preliminary data), with particular reference to monitoring delivery against quarterly performance targets. As with Strategic Plan and Annual Performance Plan consistency and alignment in performance information (strategic objectives, performance indicators and targets) should be ensured in the quarterly report. The Department should therefore ensure that the actual achievements of targets set in the Annual Performance Plans are reported in the quarterly reports.

2.2 Preparation of Quarterly Performance Reports (QPR)

The process of preparing the QPR starts when Programmes or Sub-Programmes collate three monthly performance information which will be compiled as quarterly progress reports in alignment with the APP. The quarterly progress reports are then forwarded to the Strategic Planning for consolidation and, verify the correctness of information and consistency with the APP. Monitoring and Evaluation Unit verifies the accuracy, completeness, and correctness of information and issue analysis report for discussion to Governance Sub- Committee. Recommendations of Governance Sub- Committee are then discussed in the Executive Management meeting for resolution and approval by the Accounting Officer. The QPR is then submitted to Provincial Treasury, Office of the Premier, Legislature and Internal Audit by Strategic Planning.

There is also a standardized template for quarterly review session designed by Strategic Planning for reporting on quarterly progress.

The Quarterly Performance Reports (QPRs) are compiled to provide the Accounting Officer with information on performance against APP. It also provides the Accounting Officer with an opportunity to indicate measures that will be taken to ensure that implementation of the APP remains on the track. It provides the Executive Authority, the National and Provincial Treasury with information on performance against the departmental plans.

Linked to: The QPR is ultimately consolidated into the performance section of the Annual report.

In addition, the QPR for the second and third quarters provide information on the present year's performance to be taken into consideration in the development of the APP and annual budget for the following year.

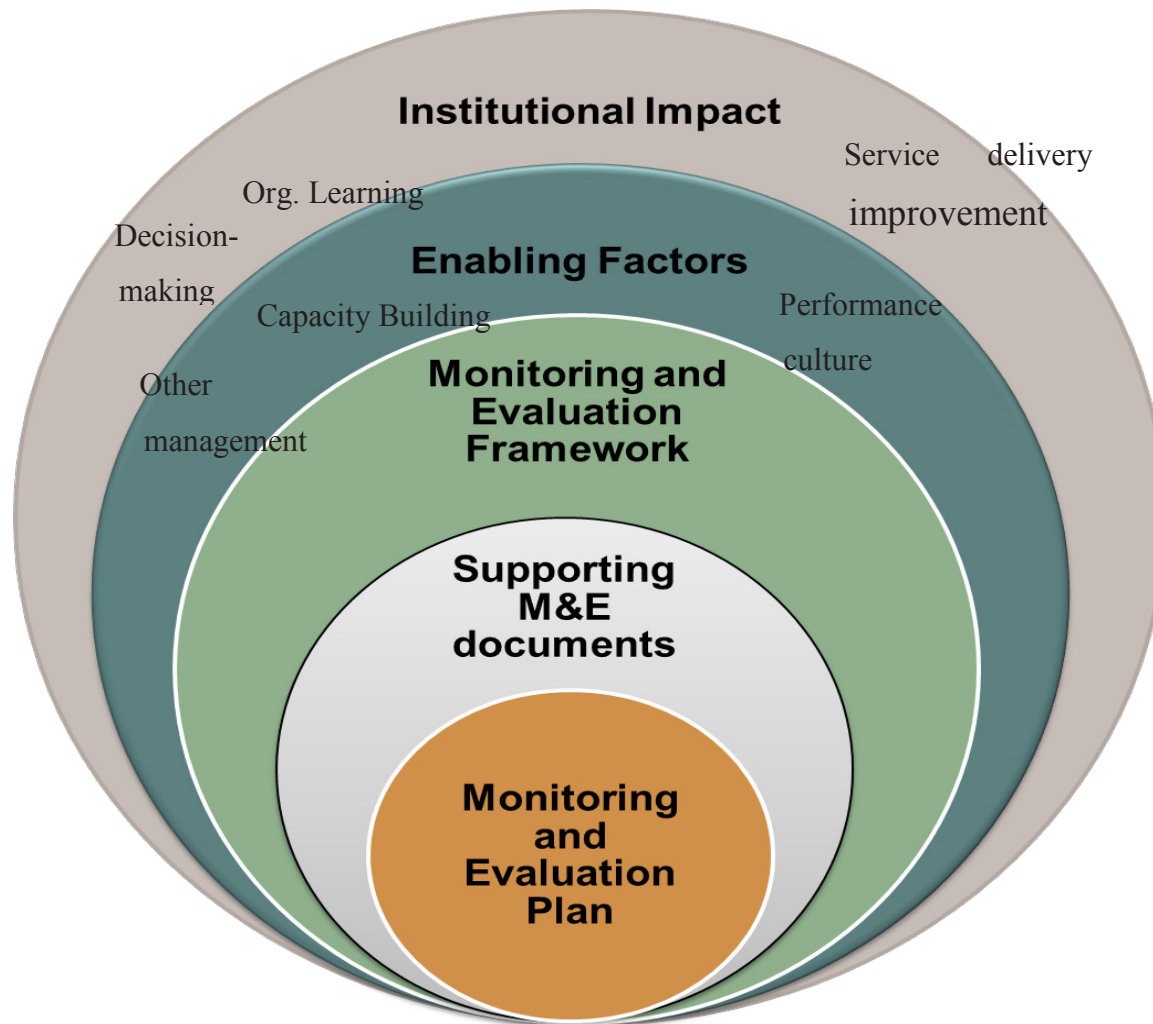
2.3 Validation of Reported Information

Verification should take place across the three Management levels starting with Directors followed by the Chief Directors, Branch Heads and Monitoring and Evaluation.

The following are examples used as means of verification for Monitoring and Evaluation in the Department:

- Attendance register ,
- Minutes of meetings ,
- Analysis/statistical reports,
- Presentations/ reports to stakeholders,
- Financial reports,
- Photos

Figure 2.3.1: Links between the Departmental M&E Framework, Plan and Supporting Documents, enabling factors and desired impact of the M&E System



The Monitoring and Evaluation Plan enables a department to track progress and policy achievement in terms of objectives. The Monitoring and Evaluation Plan provides for each objective detail on indicators, plans for data collection, analysis and reporting. The plan is supported by various M&E documents, consisting of forms, reporting formats and guidelines for the M&E plan, in order to operationalize it.

The Monitoring and Evaluation Framework is a narrative document articulating the approach that will be taken to create and operate a monitoring and evaluation system in the department to produce credible and accurate information on an on-going basis, which is used to improve service delivery and governance.

There are institutional enabling factors without which it will not be possible to implement Monitoring and Evaluation Framework. Enabling factors include the use of M&E information in other Management Systems, and an organisational culture that is open to critical reflection of performance. However, should these be in place, the M&E system can have significant institutional impact by empowering decision-makers to take corrective action to improve service delivery, and allowing for organisational learning.

The objectives of the Limpopo Department of Public Works, Roads and Infrastructure M&E framework are to:

- Provide reliable and credible mechanism to evaluate the institution's progress against the service delivery objectives outlined in its SP, APP and other policy documents, in order to demonstrate tangible results. This would allow for an Early Warning System to identify factors that which may negatively impact on the successful achievement of objectives.
- Ensure compliance with all statutory reporting requirements for programme performance information, as well as laying the foundations for audits of non-financial information.
- Prioritise projects that are in the approved Service Delivery Plan

3. APPLICABILITY OF MONITORING & EVALUATION POLICY FRAMEWORK

The M&E Framework is applicable to all officials, programmes and projects in the Department of Public Works, Roads and Infrastructure. The Department does have Roads Agency Limpopo is a public entity which report to the Department. The Department also does work closely with client departments, parastatals, none-governmental organisations, and community biased organisations municipalities at all levels of government and other service providers.

4. LEGISLATIVE, POLICY AND STRATEGIC CONTEXT

In terms of its legislated mandate, the LDPWRI has been assigned the role of custodian and manager of all provincial government land and buildings for which other legislations does not make other departments or institutions responsible. This mandate includes the determination of accommodation requirements; rendering expert built environment services to client departments as well as the acquisition, management, maintenance and disposal of such provincial government land and buildings. This mandate is supported by the relevant provisions of the Constitution, (Act 108 of 1006), and the Northern Province Land Administration Act (Act 6 of 1999).

The Government Immovable Asset Management Act (Act 19 of 2007) referred to as GIAMA was promulgated on the 27th November 2007. The Act provides for uniform framework for the management of immovable assets that are held or used by a National or Provincial Department and ensures coordination of the use of immovable assets within the service delivery objectives of Departments.

In terms of the Act, the Premier of the Province designated the MEC for Public Works, Roads and Infrastructure as Custodian of Immovable Assets that vest in the Limpopo Provincial Government. The MEC acts as the caretaker in relation to immovable assets of which the department is the Custodian.

The Department also discharge its core responsibilities in terms of the following line function specific legislative mandates:

- Construction Industry Development Board Act, 2000 (Act 38 of 2000)
- Deeds Registries Act, 1937 (Act 47 of 1937)
- Council for the Built Environment Act 2000 (Act 43 of 2000)
- Architectural Professional Act, 2000 (Act 44 of 2000)
- Landscape Architectural Profession Act, 2000 (Act 45 of 2000)
- Engineering Professions Act, 2000 (Act 46 of 2000)
- Property Valuers Act, 2000 (Act 47 of 2000)
- Projects and Construction Management Profession Act, 2000 (Act 48 of 2000)
- Quantity Surveying Profession Act, 2000 (Act 49 of 2000)
- Town and Regional Planning Act, 2002 (Act 36 of 2002)
- Rating of State Property Act, 1984 (Act 79 of 1984)
- Land Affairs Act, 1987 (Act 101 of 1987)
- Land Titles Adjustment Act, 1995 (Act 111 of 1995)
- National Building Regulations and Building Standards Amendment Act, 1995 (Act 49 of 1995)
- Housing Act, 1997 (Act 107 of 1997)
- Rental Housing Act, 1999 (Act 50 of 1999)
- National Heritage Council Act, 1999 (Act 11 of 1999)

- Government Immoveable Asset Management Act, 2007 (Act 19 of 2007)
- Occupational Health and Safety Act, 1993 (Act 85 of 1993)
- SITA- SITA Act

The core programmes of the Department include the Public Works, as Programme Two, Expanded Public Works Programme as Programme Three and Roads and Infrastructure as Programme Four.

Significantly, it is expected that the Provincial Immoveable Asset Register must be fully compliant with GIAMA.

The maintenance work is guided by the National Infrastructure Maintenance Strategy and the Limpopo Department of Public Works, Roads and Infrastructure Maintenance Strategy (LDPWRIMS). Further information on the Department's strategic goals and objectives are captured in the APP, which provides more detail regarding performance indicators, targets and baselines.

As a line Department, The NDPW's first responsibility is to implement the policies and priorities of government which is derived from the NDP (long-term vision for 2030), the Manifesto of the ruling party and the MTSF (Medium Term Strategic Framework 2014-19).

In terms of the 14 government-wide outcome priorities, the Department of Public Works contributes directly to the following outcomes:

Outcomes 4: decent employment through inclusive economic growth. (Indicate the job creation opportunities created in the current year. Source EPWP)

Outcomes 6: an efficient, competitive and responsive economic infrastructure network. Exceptional progress in the manner in which infrastructure is being delivered has been done, and more is required.

Outcomes 12: An efficient, effective and development oriented public service.

These outcomes go to the heart of the core business of this Department – to provide suitable accommodation to government to enable service delivery to take place optimally is mostly involved in the delivery agreement for Outcome 4: Decent Employment through Inclusive Growth due to its lead co-ordinating role in the EPWP. EPWP is now in phase 2, and is an important national priority. Through the provision of land and building infrastructure, including schools and hospitals etc., the department contributes to Outcome 1: Improve Quality of Basic Education, and Outcome 2: A Long and Healthy Life for all South Africans. The LDPWRI is aware of its crucial contribution to client departments by way of delivering quality capital works on time and within budget. Initiatives such as the Infrastructure Delivery Improvement Programme and the Project Management Improvement Strategy are being implemented with this in mind.

The LDPWRI also plays an important role in the realisation of the Limpopo Employment Growth and Development Plan (LEGDP). The LEGDP speaks to the need for a Limpopo Master Infrastructure Plan in the province.

5. SITUATIONAL ANALYSIS OF MONITORING & EVALUATION

There are many complexities in terms of M&E in a developing country. As such, the Presidency published the Policy Framework for the Government-wide Monitoring and Evaluation System (2007), in order to provide guidance to provincial governments and municipalities in establishing and maintaining effective monitoring and evaluation policies and procedures. The document requires that monitoring and evaluation be implemented on all government levels to ensure that government is meeting the outcomes set in the Medium Term Strategic Framework (MTSF) and the Millennium Development Goals (MDG). This requirement is augmented by National Treasury's Framework for Managing Programme Performance Information (2007) as well as the Outcomes Approach and developed by the Department of Performance, Monitoring and Evaluation in the Presidency, resulting in the Green Paper on Improving Government Performance (2009).

Currently there are various reporting and monitoring activities taking place in the LDPWRI. For example, the Department fulfils reporting responsibilities to the Provincial Treasury, Office of the Premier, Audit Committee, Auditor General, Provincial Cluster Reporting, Portfolio Committee, National Department of Public Works and Citizens through Annual Reports. The various programmes may have individual approaches, based on their specific needs or requirements passed down from National Departments.

Monitoring and Evaluation findings are used to track progress in meeting policy aims and goals through the monthly management meetings. These include a standing item on the agenda whereby progress made against quarterly targets in the APP is discussed. The monthly management report provides for particular corrective action to be specified, such as what follow mechanisms will occur, which interventions are required, and where matters should be escalated to the next level. External meetings with the Provincial Steering Committee are another forum whereby progress is monitored and solutions for projects that have stalled for various reasons are discussed. Departmental performance is also discussed in

the Governance Sub-Committee chaired by the General Manager: Strategic Management before departmental performance could be discussed in the Executive Management meeting.

Essential to the monitoring and reporting processes in the Department is the Strategic Plan and Annual Performance Plan. It is against these plans that the department must monitor and evaluate its progress.

6. MONITORING & EVALUATION RELATED LEGISLATIVE AND POLICY MANDATES

The Limpopo Provincial M&E Framework outlines the main pieces of M&E related legislation in Chapters 2 at a national level. This includes:

- The Medium Term Strategic Framework
- Green Paper on Improving Government Performance: Our Approach
- Green Paper on National Strategic Planning
- Policy Framework for the Government-wide Monitoring and Evaluation System
- Framework for Managing Programme Performance Information
- South African Statistical Quality Assessment Framework
- Provincial Growth and Development Strategy Guidelines
- Role of Premier's Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide
- Public Finance Management Act
- Strategic Planning Guidelines
- Performance Information Handbook

Chapter 4.2 of the Limpopo Provincial M&E Framework describes the Outcomes approach. Departments need to align with relevant national Delivery Agreements, and Intergovernmental Protocols signed between the President and the Premier.

Outcome 4: Decent Employment through Inclusive Growth describes the leading role that the National Department of Public Works plays in the coordination of the Expanded Public Works Programme across the country. Each Provincial Department, including the LDPWRI, is required to report to national government in such a way that the National Department is able to aggregate the data across the country and state actual performance against targets.

Apart from the national policy context, the provincial policy context also needs to be considered. This includes ensuring that the LDPWRI M&E Framework aligns with the:

- Limpopo Employment Growth and Development Plan
- Limpopo Provincial M&E Framework
- Limpopo Provincial M&E Plan

7. DEPARTMENT SPECIFIC MONITORING & EVALUATION ISSUES

The LDPWRI has a number of department-specific issues which need to be considered in terms of monitoring and evaluation. These include the provincial coordination of the prioritised EPWP which includes working with municipalities and the use of conditional grants; having government departments and the public as its main clients, and the fact that much of work is implemented by LDPWRI through contractors and in-house.

The National Department of Public Works has particular monitoring and reporting requirements of the Provincial Departments, such as reporting on the number of work opportunities created and training days provided in the implementation of the EPWP. The EPWP is funded by means of a conditional grant to provinces and municipalities, which has its own reporting and M&E requirements as well.

The LDPWRI's mandate is that of custodian for all land and buildings owned by government. This includes provision and maintenance of such buildings. A challenge, however, arises as the maintenance budget for the buildings resides with client Departments, and not in the direct control of the LDPWRI. There is also a challenge in the management of outsourced projects for client Departments because the budget also resides with the clients and payments of progress certificates are often delayed. This has implications for planning, implementation, monitoring and evaluation of the LDPWRI's maintenance work.

Some of the LDPWRI's construction work is outsourced to contractors. The Independent Development Trust (IDT) is also appointed by Public Works, Roads and Infrastructure to assist with fast tracking certain construction and maintenance projects. Reporting mechanisms are required in order to monitor progress made by all contractors on behalf of LDPWRI who needs to account for performance against set targets.

8. ROLES, RESPONSIBILITIES AND ACCOUNTABILITY

The roles and responsibilities for monitoring and evaluation are spelt out in the Policy Framework for the Government-wide Monitoring and Evaluation System. These apply to the LDPWRI as well.

The MEC should ensure that the Department sets up appropriate monitoring and evaluation information systems so that they are able to fulfil their reporting responsibilities. M&E findings can be used in the political oversight of the Department's performance and for ensuring that desired outcomes and impacts are achieved. These findings can also be given to the provincial legislature to whom they are accountable with detailed regular reports on the institutions under their control. The Limpopo Legislators may use M&E insights to assist them in exercising consistent and informed oversight of the bodies accountable to them, in assessing the impact of legislation and tracking progress in the mainstreaming of gender, disability etc.

The Accounting Officer is accountable for establishing and maintaining the systems to manage performance information. He or she must ensure that there is adequate capacity to integrate and manage performance information with existing management systems. The Accounting Officer is accountable for the frequency and quality of M&E information as well as its utilization. It is critical that M&E findings are responded to and corrective action be taken swiftly and good practices emulated. A report on this matter should be provided by the institution's Accounting Officer to its Executing Authority and oversight bodies annually. In addition, the Accounting Officer needs to decide on the appropriate positioning of the responsibility to manage performance information.

The Accounting Officer, all General Managers and Senior Managers must adopt one infrastructure project in each financial year for monitoring. The selected infrastructure project must be included into their performance instruments.

Line Managers are accountable for establishing and maintaining performance information processes and systems within their areas of responsibility, especially collecting, capturing, verifying, analysing, reporting and using data and information.

All officials are responsible for capturing, collating and checking performance data related to their activities.

The Strategic Planning and M&E Units are responsible for the overall design and management of indicators, data collection, collation and verification processes within the Department. Where such processes are lacking these units shall support the relevant line managers to put them in place.

The M&E Unit must ensure the implementation of M&E strategies by providing expertise and support as well acting as a service hub for related initiatives.

The Unit is also responsible for the overall monitoring and management of indicators, data collection, collation and verification processes within the Department. Where such processes are lacking these units shall support the relevant line managers to put them in place.

The Cost Centre Managers and Project Managers in the districts must monitor all outsourced infrastructure projects in their centres.

In order to ensure the integrity of the institutions' overall performance information, all official's performance agreements and assessments should deal explicitly with the quality of this aspect of their work. This will not only to provide incentivisation, but will help unpack exactly what is expected from officials. Communication around this would be an important part of the change management exercise that will be required in order to institutionalise M&E in the LDPWRI.

9. ORGANISATIONAL LOCATION, STRUCTURE AND BUDGET OF MONITORING & EVALUATION SPECIFICS

The optimal organization structure for M&E will differ from organization to organization. Some organizations may prefer a centralized, specialized M&E unit. Others may opt to decentralize M&E functions to components within the organization. Whatever the structure of the M&E function, it is important that it has sufficient visibility within the organization. Sufficient authority to officials with M&E system management responsibilities can ensure that M&E findings inform policy and programmatic decision-making and resource allocation.

M&E findings are meant to encourage critical reflection by decision-makers within institutions and feed into strategic thinking and policy refinement. However, instead of being regarded as a strategic process, M&E is often regarded as a low-level 'back office' administrative function. These misperceptions may constitute a barrier to M&E making the desired impact.

It is very important that the division of labour between the M&E unit and other related functions such as policy and strategic planning, research, internal audit, risk management, knowledge management etc. be clearly defined. Monitoring and evaluation depend directly on effective planning and clear definition of indicators and targets. If strategic plans are not

SMART (specific, measurable, appropriate, realistic and time-bound), do not use credible baseline data against which targets will be measured, or where indicators are inappropriate or not clearly defined, then monitoring and evaluation outcomes are seriously compromised. It is also important that the Strategic Planning Unit work closely with the M&E Unit to ensure that;

- (1) M&E findings from the previous cycle inform the development of policy and strategy in the new planning cycle and
- (2) that the performance indicators and targets in the new strategic and operational plans are sufficiently quantifiable and well defined to lay the foundation for effective M&E during the implementation phases. The challenge for the M&E is to assist the department in improving their strategic and operational plans that in turn will improve the integrity of the M&E reports. This implies close collaboration with the Strategic Planning Units to help orchestrate capacity development and support processes in planning and M&E throughout the institution.

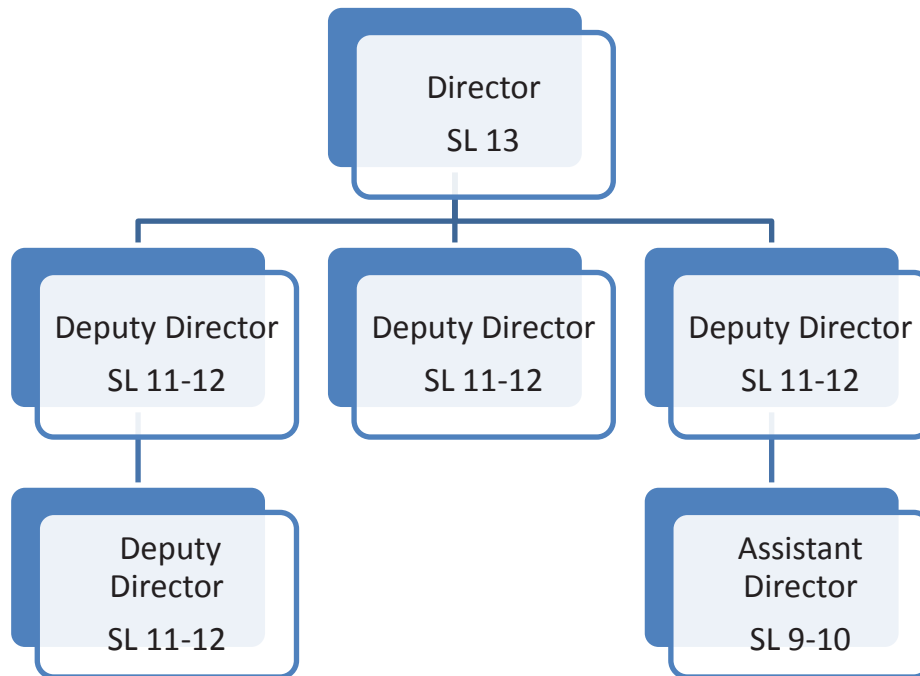
Monitoring and Evaluation is, one of five (5), a directorate under the component Chief Directorate: Strategic Management. Strategic Planning, Monitoring and Evaluation, Risk and Corporate Governance, Communication and Stakeholder Management, and Information Communication Technology. Therefore, Directors of each component report to the Chief Director of Strategic Management. In the LDPWRI, the CFO is the head of a sub-programme which oversees risk management and internal auditing Risk Unit is now part of Strategic Management under one General Manager with M&E unit. Finance is the Chief Directorate headed by the CFO. The CFO and M&E Unit should liaise to ensure that any performance measures or indicators tabled within the Department's Budget Statement and MTEF are consistent with those in the Strategic and Annual Performance Plans and M&E reporting instruments.

The Monitoring and Evaluation is responsible for following functions:

- Develop Monitoring and Evaluation Framework;

- Develop and maintain Monitoring and Evaluation System;
- Conduct research to improve service delivery;
- Compile M&E plans based on strategic, Annual Performance Plan and Operational Plans;
- Coordinate monitoring of progress of departmental programmes and infrastructure cluster;
- Analyse programme achievements/non-achievements and make recommendations to management on the improvements required to ensure achievement of targets;
- Use an early warning system that may provide early warning information on the non-achievement of results and make recommendations to minimise the influence;
- Monitor implementation of Service Standards and SDIPs;
- Work closely with the M&E unit within the Office of the Premier to ensure standardisation and the implementation of a single M&E framework and system;
- Monitor the implementation of EXCO and Cabinet Decisions; and
- Conduct client satisfaction surveys.

The M&E posts allocated include 1 Senior Manager (SL 13), 4 Managers (SL 11-12), 1 Deputy Managers (SL 9-10), indicated in the organogram below:



One Secretary post, at SL 5, has also been approved. Most of these posts are vacant; however, plans are being made to fill these posts. Capacity building and change management will be essential to establishing this unit – these will be discussed later in the document.

10. INFORMATION SYSTEMS

An information system is a combination of persons with roles and responsibilities, data records, equipment, infrastructure and procedures within an organisation for collecting, capturing and processing data and converting it into information and knowledge to support decision-making and management. Information systems can be manual, spread sheet based, hybrids between manual and spread sheet based or electronic. Existing information systems in the department include:

10.1 Request Call Centre (RCC)

This is a call centre through which clients can contact the LDPWRI to make a request or obtain information about a current project. RCC is currently used at a district level; however, the plan is to create one centralised call centre for the province.

10.2 Limpopo Project Management Information System (LPMIS)

This is a web-based system which is used to track all planned projects with client departments. This system produces reports which include information such as scope of project, initial starting date, completion date, reasons for revision of contract, remarks, contract amount, approved variation orders, amount paid to date, etc.

10.3 EPWP web based system

This system is used for reporting on EPWP social and environmental projects. This system produces both financial and non-financial information, including demographics, expenditure per project, analysis of performance against targets, etc. It can also drill down to projects per specific departments. In the LDPWRI, there are 7 data capturers and 17 users (who can access the system but can't change the information contained therein). It is considered roughly 70% reliable as the

system can become overloaded due to having to draw information from National government, which still needs to be verified.

10.4 Management Information Systems (MIS)

This web-based information system is used for reporting on EPWP infrastructure projects to national government. Only a handful of officials have access to the system.

10.5 ieWorks

This information system is web-based, GIAMA compliant, and is used by the real estate section which contains around 40 – 50 people. It can provide non-financial and financial reports in real time including the rates and taxes of municipalities, whether departments have submitted their bills to Public Works, asset management and maintenance data, building plans, title deeds, Surveyor-General diagrams etc. However, significant work is required to successfully capture and maintain the information that should be contained on the system.

10.6 Geographic Information Systems

This system enables the spatial visualisation of government's immovable assets. This will be used for, amongst others, monitoring progress on building projects. This is still new and not fully utilised currently.

10.7 PERSAL, BAS and FINEST

There are also other systems such as the leave management system, fleet management system and clock in (time in attendance) system which is in operation in the department.

10.8 PROMAN

Operational Support & System Maintenance: The contents of the PROMAN implementation and maintenance steering committee Terms of Reference as well as the contents of the project management office business process has been confirmed by the steering committee and will be signed off by the relevant role players during the month of July 2015.

11. PLANNED FUTURE INFORMATION SYSTEMS

Electronic M&E system will enable managers to extract performance information aligned to the Annual Performance Plan, Operational Plan. The first step is a user needs specification and an analysis of existing M&E processes to ensure that information requirements are clearly understood, reporting tools standardized, and data flows institutionalised across all levels. It is therefore necessary that one documents the current sources of data used in the department across programmes and performance information process flows.

The M&E Unit generates a significant amount of information and data that need to be processed, analysed and re-packaged for a number of M&E users within the department and sector. The scale of information dealt will require an electronic IT solution to assist with data analysis and reporting.

There is no integrated electronic M&E system; therefore there is a need for the integrated system to integrate existing government information systems. In terms of organisational design, it is clear that dedicated resources with defined skills are needed to manage the M&E information systems and the generation of knowledge in M&E. As in the case of many institutions, this dedicated support is needed to identify and institutionalise an IT solution in the first place.

The M&E system would capture APP targets, against which line managers would have to capture their performance by a certain deadline or they will get logged out of the system. While capturing performance, evidence for performance targets claimed has to be uploaded as well. The LDPWRI does have the required infrastructure for the system; however a change management and capacity building process along with on-going user support and maintenance would need to be implemented in the department in order to ensure successful implementation.

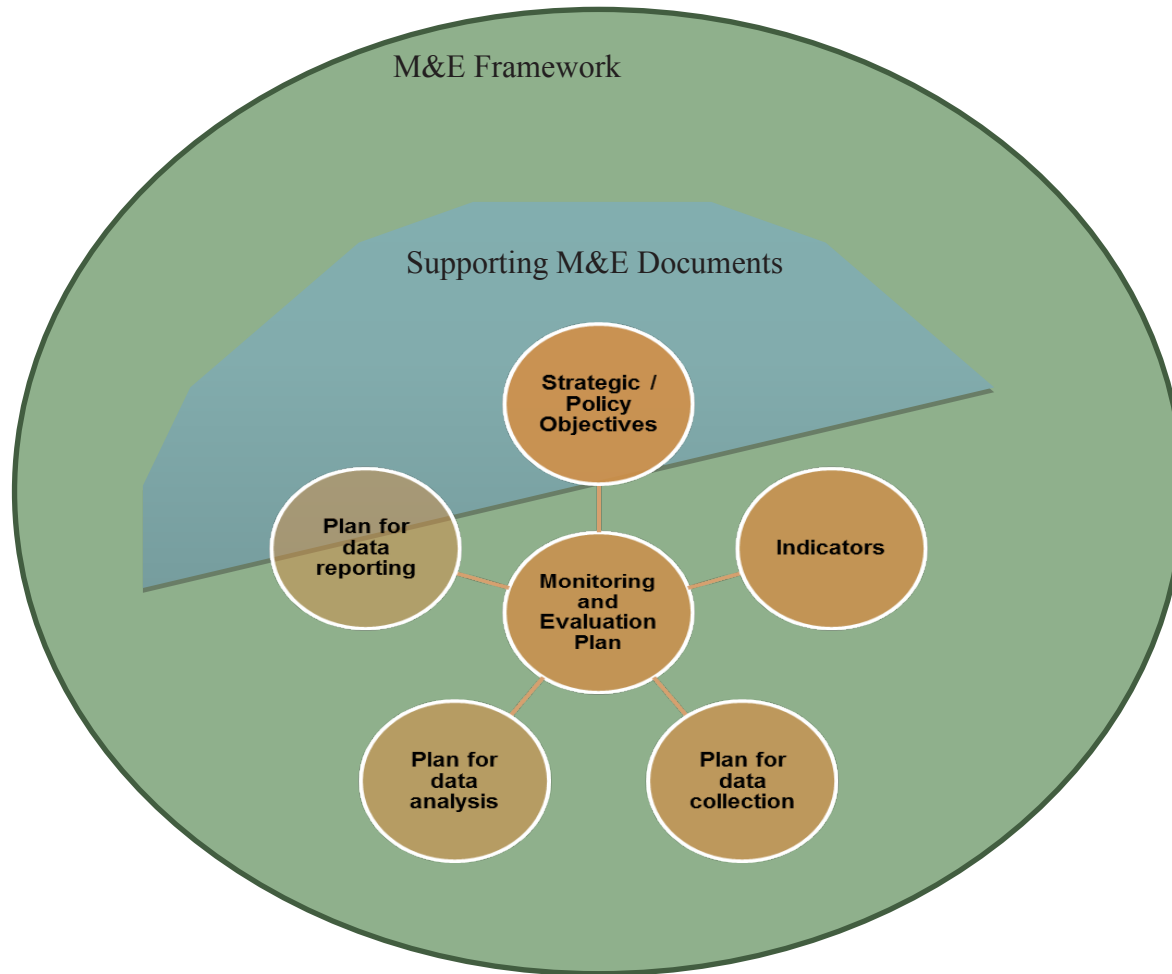
It is anticipated that the following information systems will be implemented at national level and that provincial departments will have to comply with the systems:

Where M&E systems are supported by IT solutions, systems integration and ease of data interchange is critical to eliminate duplication in data entry and ensure the integrity of data. The feasibility study should ensure that the proposed electronic M&E system is linked to the public institution's IT systems master plan. The M&E team needs knowledge and skills to manage such a system.

12. MONITORING AND REPORTING FRAMEWORK

a. *Link between the M&E Framework and the M&E Plan*

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



The LDPWRI's APP contains a set of indicators which need to be monitored and reported on throughout the year. In addition, the LDPWRI needs to consider indicators that are required to report on in terms of the National Delivery Agreements (Outcome 4, for example) and the LEGDP. For each indicator that the department is required to report on, a plan for data collection, analysis and reporting is required. This is what constitutes the M&E Plan.

In addition, supporting documents such as forms and procedure guidelines will be required in order to operationalize the M&E plan.

The M&E Framework describes the approach that the department will take in developing an M&E system. This includes an understanding of the M&E function in the department, its capacity and constraints in terms of the delivering on the M&E Plans, as well as capacity building and change management plans for institutionalising M&E Plan.

b. Uniform Sector Definitions of Critical Monitoring & Evaluation Concepts

The Policy Framework for the Government-wide Monitoring and Evaluation System defines monitoring and evaluation and other key concepts 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.

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 policymakers. Evaluations may assess 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 crosscutting lessons from operating unit experiences and determining the need for modifications to strategic results frameworks.

Inputs: all the resources that contribute to the production and delivery of outputs. Inputs are "what we use to do the work". These 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.

Inputs, Activities, Outputs, Outcomes and Impacts form the results chain, and each of these aspects need to be monitored. The new outcomes approach is placing more emphasis on the results (outcomes) of department's deliverables. Correct understanding and defining of the elements in the results chain with regards to the department's strategic objectives is essential to developing an M&E Plan which will produce useful data for management. As M&E develops further in the LDPWRI, the department will define M&E concepts which are specific to their work and sector. This standardisation is important for credible M&E Plans and such learning comes with continuous review.

c. Indicator Definition Protocol

A common finding of the Auditor-General is the lack of SMART (specific, measurable, achievable, relevant and time-bound) performance indicators in government department's strategic plans. As mentioned above, a logical results chain needs to be built and indicators chosen for each step of the results chain. The indicators chosen have a significant impact on the department, as plans need to be established to collect data, analyse and report on it. It is therefore essential that there is agreement on the process through which indicators are chosen.

There are national and provincial indicators, found in delivery agreements and the LEGDP, which the departments are required to report on. The LDPWRI will not be able to specify how these should be defined. Since these indicators are defined at national level and provincial departments are required to comply with those definitions in order to aggregate data nationally in a credible manner. However, for departmental indicators, these are developed in the strategic planning process, once strategic objectives are identified. In selecting and reviewing indicator sets, the minimum number of indicators consistent with effective M&E should be used. This acknowledges that each indicator identified entails both a cost and an informational benefit to the institution. Furthermore, the process of indicator identification should 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.

12.1 Definition of indicators

A good performance indicator should adhere to National Treasury's *Framework for Managing Programme Performance Information* 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 just 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 thereof.

12.2 Metadata relating to indicators

In line with the National Treasury's Framework for Strategic Plans and Annual Performance Plans, the metadata for each of the indicators reported in the institutions strategic and annual performance plan should contain a detailed technical indicator description. This includes:

- 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
- Whether the indicator is new, has been determined on the basis of previous year, or is identical with that reported in the previous year.

The indicator set for each programme as well as their metadata will be described in the annual performance plan, as per the Strategic Planning Guidelines. Currently in the LDPWRI, as part of the strategic planning process, components meet to come up with indicators. They are responsible for ensuring that these are SMART, and that they can report on these. In order to ensure that programme and line managers are developing SMART indicators, training, capacity building and change management may be required.

13. PREPARING FOR AUDITS OF PRE-DETERMINED OBJECTIVES

In terms of sections 20(2) (c) and 28(l) (c) of the Public Audit Act of 2004, the Auditor General is required to audit the performance information reported by departments against predetermined objectives. The aim of an audit of predetermined objectives is to enable the auditor to conclude whether the reported performance against predetermined

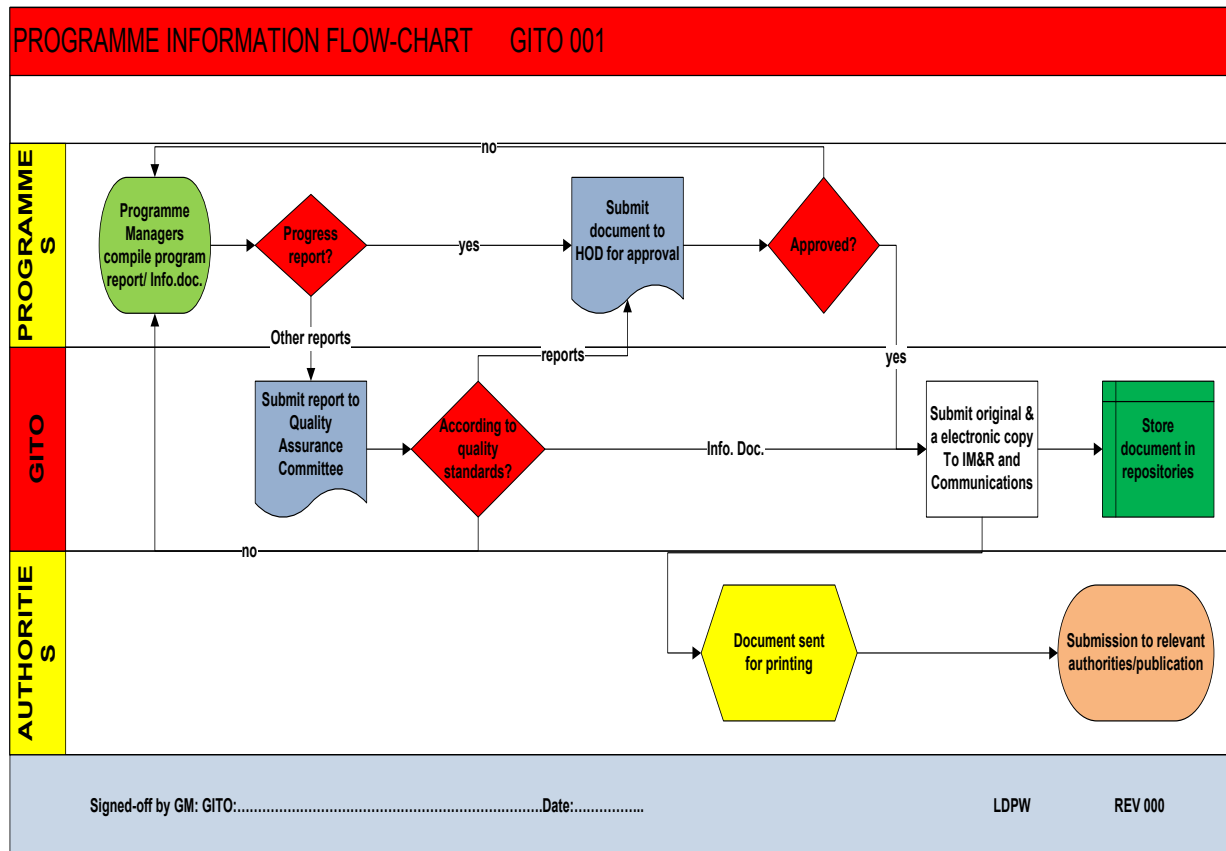
objectives is reliable, accurate and complete, in all material respects, based on predetermined criteria. These criteria include:

- All relevant laws and regulations
- The Framework for Managing Programme Performance Information issued by National Treasury
- All frameworks, circulars and guidance issued by the National Treasury and the Presidency regarding the planning, management, monitoring and reporting of performance information.

The performance information should be submitted for auditing together with the annual financial statements within two months after the end of the financial year. The procedures for audits of performance information typically include:

- Obtaining an understanding of the internal controls relating to performance information
- Obtaining an understanding of the relevant systems to collect, monitor and report performance information
- Evaluating the existence, consistency (e.g. as recorded in the strategic plan, budget, quarterly reports and annual report), format and quality of performance information
- Comparing reported performance information to relevant source documentation and conducting limited substantive procedures to ensure valid, accurate and complete performance reporting.

The flow of performance information in the LDPWRI can be described by the following diagram:



This M&E Framework, will include a detailed M&E Plan once it has been developed, supports the process by documenting the approved M&E system for the LDPW. For each of the predetermined objectives stated in the APP, audit

evidence must be collected and reports validated. Roles and responsibilities and timeframes must be assigned to specific individuals.

14. EVALUATION PROCESSES AND STANDARDS

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

14.1 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 Department, partners involved in programme delivery, those served or affected by the programme (e.g. beneficiaries) and other parties who have an interest in what will be learnt through the evaluation.

14.2 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).

14.3 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 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.

14.4 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.

15. MULTI-YEAR EVALUATION PLAN

While there has been a long history of monitoring in the South African public sector, evaluation is still fairly new. As part of a phased implementation approach, it may be prudent to stress “M before E” initially. In other words there is a need to develop systems and processes for effective monitoring first, and then use this to lay the foundation for evaluation, and help create a results-based management culture receptive to evaluation study findings.

The LDPW has conducted some small scale evaluations in the department, such as evaluating departmental services to key customers (such as the Department of Education and the Department of Health), adherence to Batho Pele principles, and an impact study on contractor development. In terms of future evaluations, the LDPWRI consider initially conducting evaluations on conditional grant, as this is a legislative requirement. In the outer years of this term, consideration must be given to process and outcome evaluations. Over time, greater emphasis may be placed on long term impact evaluation.

A multi-year evaluation plan will be developed for the LDPWRI. The evaluation plan must make strategic decisions on which programmes and projects to evaluate over the MTEF period and when these will take place, given the limited budgets typically made available for evaluation. Possible future evaluations may include contractor abandonment of projects, debt owing from rental collections, National Youth Service, implementation of GIAMA, evaluation of training offered by the department, turnaround time within Supply Chain Management (determining how long it takes to source service providers from the date of request) and the impact of LDPWRI Learnership programmes.

Prioritization of evaluation will depend on a number of factors: the purpose of the evaluation, the fiscal importance of the programme or project in the budget, the strategic importance of the programme or project, the likelihood of further future

interventions by the institution in the same area/sector, anticipated risks and problems, the need for lessons learnt, to assess new innovations etc.

The process for compiling a departmental evaluation plan should encompass the following phases

- Engagement with stakeholders to review the achievements and challenges in delivery over the last period as well as goals for the future period, and identify key areas for possible evaluations.
- Possible evaluation questions may relate to, e.g. the targeting of programmes, the incidence of programmes (i.e. whether the intended beneficiaries did in fact benefit or other non-poor groups), the coverage of the programme and participation rates, the impact of the programme, incentive effects creates and beneficiary and other stakeholder perceptions of the programme.
- Compile a draft evaluation plan which focuses on the evaluation questions identified, within the available time, budget and human capacity constraints.
- Circulate the draft evaluation plan to all internal and relevant external stakeholders for comments
- Finalise the evaluation plan based on stakeholder inputs
- Approval of the evaluation plan and budget.
- Implementation of the evaluation studies of policies, programmes, projects and other interventions.
- Reporting by all who conduct evaluation studies
- Follow-up and action in relation to evaluation findings
- Annual review of departmental evaluation plan.

The Premier's Guide to Monitoring and Evaluation, as referred to in Section 5.4.1 of the Limpopo Provincial M&E Framework, recommends that the Office of the Premier should coordinate the evaluations conducted in the province.

Change Management for Monitoring & Evaluation

Change management for M&E requires an understanding of who the internal and external stakeholders are, what their specific M&E needs are and identifying suitable communication channels for them.

Internal stakeholders include Office of the MEC, HoD and Programme Managers. External stakeholders would include Office of the Premier, Provincial Legislature, Portfolio Committee on Public Works, Provincial Treasury, user departments, the Economic Cluster, contractors, consultants, members of the public and national government departments.

Suitable communication channels to reach internal stakeholders include meetings, monthly reports, memoranda and circulars, email and use of the intranet. For external stakeholders, the following communication channels should be considered: the LDPWRI's website, quarterly and annual reports, Citizen Reports, public participation programme, etc.

However, the existence of M&E information does not guarantee its use. It is important therefore to actively build demand for M&E products. Rather than the M&E Unit using 'compliance' as the motivation for cooperation regarding an M&E system. The challenge is to demonstrate the benefit of quality, accurate and easily accessible performance information. For example, on evaluation of the first phase of EPWP, the department realised that the process used to select participants, amongst others, was flawed and led to high dropout rates.

This learning led to a review in the selection process which was implemented for EPWP Phase 2. Case studies of where M&E findings have aided management decisions and resulted in better service delivery should be made known, in order to build a culture of managing for results. Should this occur, the demand for M&E information will escalation. Chapter 9 of the Provincial M&E Framework speaks in detail about inculcating a performance culture.

16. MONITORING & EVALUATION CAPACITY BUILDING PLAN

The M&E function needs to have the following skills: working knowledge of M&E, theoretical knowledge of M&E, understanding of government systems and procedures, research skills (especially data analysis), database skills, capacity building and facilitation skills for training, mentoring and coaching people in the use of the system. Once a skills audit has been conducted, gaps can be identified, and various capacity building options can be cost and built into skills development plans of individual officials. Capacity building initiatives should ensure that:

- The users of M&E data understand how to integrate M&E functions within their areas of responsibility and how to respond to M&E findings
- M&E Practitioners are able to set up an M&E system, manage that system, and produce the results required for M&E from it
- M&E Practitioners have sufficient technical skills in respect of M&E and quantitative analysis techniques to produce credible M&E findings

Each programme will have to consider a range of interventions to build capacity in the short, medium and long term.

These include:

- Training of existing staff: These include 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.

It is important that M&E practitioners form part of M&E communities of practice and M&E networks, as part of on-going professional development and to ensure exposure to evolving good practice. A good starting point is the South African Association for Monitoring and Evaluation, SAMEA. The LDPWRI needs to find ways of sharing the knowledge and wisdom generated through their M&E processes both internally and with their counterparts in the sector. One way of doing so is the use of the provincial M&E Forum.

Institutionalize Effective Monitoring & Evaluation

The Department has establish the unit in line with national and provincial requirements and in accordance with best practice.

17. STANDARD REPORTING PROCEDURE

The National Treasury Framework for Strategic Plans and Annual Performance Plans outlines the links between the various accountability documents that institutions are required to produce at each stage of the planning, budgeting, implementation, reporting, monitoring and evaluation cycle. It focuses on the generic content of Strategic Plans and Annual Performance Plans and the timeframes for their production

The standard reporting procedure outline reporting procedure by Departmental programmes to the Executive Authority and to stakeholders such as Treasury, the Premier's Office and the Portfolio Committee on Public Works, Roads and Infrastructure. The procedure also outline reporting timeframes and they apply to all Departmental programmes.

Treasury Regulations for Public Service, constitutional institutions and trading entities issued in terms of the Public Finance Management Act, 1999, stipulates that the accounting officer of an institution must establish procedures for quarterly reporting to facilitate effective performance monitoring, evaluation and corrective action.

The Departmental framework reporting Procedure: The reporting procedure is informed by the requirements of GWMEP Framework which the Department has adopted: the process starts with the development of a five year Strategic Plan followed by the Annual Performance plan, Operational Plan, development of twelve Monthly Reports that are consolidated four Quarterly Reports and the four Quarterly Reports are consolidated to form the Annual Report.

Performance system Description.

Programmes the monthly reports at the end of each month and have seven days to submit the monthly performance reports, portfolio of evidence and minutes of programme of which programme performance were discussed to Strategic

Planning Sub-Programme for consolidation. (programmes report their performance output- followed by programme meeting to validate their report- programme submit the validated report, minutes of the meeting that validated the report and portfolio of evidence).

The Programme Manager signs off the report and submit it to Strategic Planning for consolidation in line with the APP and the Operational Plan. Monthly Report is produced for analysis.

The monthly report and quarterly reports will be consolidated in line with the Annual Performance Plan and the signed report is then submitted to Monitoring and Evaluation together with the portfolio of evidence for validation and the development of Analysis Report.

The signed reports will be submitted to Monitoring and Evaluation Unit together with the portfolio of evidence for analysis. The analyzed monthly and quarterly reports is be presented to Governance Sub-Committee by the Monitoring and Evaluation by the Senior Manager: M&E for discussion and recommended to the Executive Authority through the chairperson of the Governance Sub-Committee. The Chairperson for Governance Sub-Committee submit Departmental Performance Reports to the Executive Management for discussion, issue directive and the Executive Authority will also issue the resolution for approval by the Accounting Officer.

Data presented will be verified for accuracy and the relevant programmes will be engaged to effect any changes in case the Executive Management effect significant changes. The verified reports will be submitted to Executive Authority and to stakeholders i.e. Treasury, Premiers Office and the Portfolio Committee on Public Works.

The Senior Manager: Monitoring and Evaluation sub-programme will organize quarterly performance review sessions attended by MEC, Executive Management, Senior Managers: Monitoring and Evaluation. The team will be called Monitoring and Evaluation Forum, in which M&E Practitioner will be serving as a secretary to the committee.

18. REPORTING TIMEFRAMES

Treasury issues submission dates of quarterly performance reports on an annual basis to departments. The Department has developed a schedule of reporting dates in line with dates determined by Treasury and other regulatory prescripts. This schedule takes into consideration time required by the Monitoring and Evaluation sub-programme to collect and consolidate the reports in time to adhere to Treasury reporting timeframes and it is illustrated in the table underneath:

Standing/Regularity Reports with submission dates

| No | STANDING/REGULARITY Reports | COMPLIANCE Mandate or Source of Authority | RESPONSEBILITY | DUE DATE FOR Submission to the Relevant Department e. Provincial Treasury , OTP, Legislature, DPME, DPSA, etc. |
|----|---|---|---|--|
| 1. | Quarterly Report | 20 days after end of the quarter | Chief Director: Strategic Management | 30 days after end of the quarter |
| 2. | Accounting Officers Report to Audit Committee | 30 Days after end of the quarter | Chief Director: Strategic Management | When determined by Provincial Treasury for the quarter |
| 3. | Annual Report | 15 May of each year | Chief Director: Strategic Management | 31 May of each year |
| 4. | Submission of Strategic Plans for each financial year | PFMA SEC 27(4) TR - par 5.1 | Chief Director: Strategic Management | 31 st July |
| 5. | 1 st Draft APP for the next financial year | PFMA SEC 27(4) | Chief Director: Strategic Management, CFO | 31 st July |
| 6. | 2 nd Draft APP for the next financial year | PFMA SEC 27(4) | Chief Director: Strategic Management, CFO | 31 st November |

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| 7. | Final Draft APP for the next financial year | PFMA SEC 27(4) | Chief Director: Strategic Management, CFO | 28 th February |
| 8. | Submission of the Annual Report for each financial year to Auditor-General | PFMA SEC 40 (1) (D) | Chief Director: Strategic Management | 29 th August |
| 9. | Submission of Performance information to Auditors | PFMA SEC 27(4) | Chief Director: Strategic Management | 31 st May |
| 10. | Tabling of Annual Report each financial year | PFMA SEC 27(4) | Chief Director: Strategic Management | 29 th August |
| 11. | Submission of Annual Budget for each financial year to Provincial Treasury. | PFMA Sec 27 (Guide) | Chief Financial Officer | Per Treasury Circular (At least 1 month before the start of the financial year) |
| 12. | Submission of Cash-Flow projections to Provincial Treasury | PFMA Section 40 Sub Section 4 | Chief Financial Officer | On or before end February for each financial year |
| 13. | Budget reviews/Achievability Exercise/MTEC with Treasury | Treasury Circular | Chief Financial Officer | September/October/February for each financial year. |
| 14. | Submission Budget Adjustment Estimates for each financial year | PFMA Sec 31 (MTEF Guide) | Chief Financial Officer | Per Treasury Circular Due: November for each financial year |
| 15. | Surrender of under-spending of the budget | Treasury Regulation 15.8 | Chief Financial Officer (Management Accounting) | On or before end of April every year. |
| 16. | Application for Rollovers for each financial year | Treasury Regulation 6.4 | Chief Financial Officer (Management Accounting) | End of April each financial year |
| 17. | Submission of IYM to Provincial Treasury | PFMA Section 40 | Chief Financial Officer (Management Accounting) | 15 th of every calendar month |

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| 18 | Submission of final MTEF budget | PFMA Section 28 and Provincial Treasury Circular | Chief Financial Officer (Management Accounting) | Due February for each financial year |
| 19 | Submission of Certificate of Compliance for month end closure. | PFMA | Chief Financial Officer (Financial Accounting) | 10 days after month-end closure |
| 20 | Submission of Monthly Funds Requisitions | PFMA | Chief Financial Officer (Financial Accounting) | 4 days before the end of the month. |
| 21 | Submission of monthly Progress Report on Suspense Accounts | PFMA | Chief Financial Officer (Financial Accounting) | 15 th of every month |
| 22 | Submission of Procurement Plan to Provincial Treasury. | Treasury Instruction Practice Note on enhancement compliance monitoring and improving transparency and accountability in SCM. | Chief Financial Officer | 31 April each financial year |
| 23 | Submission of report on deviations from procurement prescripts | Treasury Instruction 16A6.4 | Chief Financial Officer (Supply Chain Management) | Within 7 days after month end |
| 24 | Submission of payment cycle reports | Treasury Instruction | Chief Financial Officer | 7 days after the end of the month |
| 25 | Settlement of creditors accounts | Treasury Instruction 8.2. | Chief Financial Officer (Financial Accounting) | 7 th of every calendar month -Within 30 days after receipt of invoices / claims |
| 26 | Submit report on Conditional Grants spending to NDPWRI | PFMA SEC 40(4)(C) | Chief Financial Officer (Financial Accounting) | Monthly – 15 th of subsequent month Quarterly – 30 days after end of quarter |
| 27 | Submission of certified monthly payroll | Treasury Instruction 8.3.5 | Pay point Managers | On or Before the 25 th of each month |

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| 28 | Reporting of Unauthorised, Irregular, Fruitless and Wasteful expenditure | PFMA Sec 38 (1) (g), Sec 76(2) (e), TR - 9 | Chief Financial Officer | Immediately on discovery |
| 29 | Submission of Final Annual Financial Statements to Auditor-General and Provincial Treasury | PFMA Sec 40(1) C | Chief Financial Officer | 31 May each financial year |
| 30 | Submission of Departmental Risk Assessment Report or Risk Profile for each financial year. | Per Provincial Treasury Instruction | Chief Risk Officer | Within 7 days after month end |
| 31 | Submission of Quarterly Risk Management Reports to Provincial Treasury and Audit Committee | Provincial Risk Management Framework | Chief Risk Officer | 7 days after the end of the month |
| 32 | Submission of Security Management report to Premier's Office (PISP REPORT) | Directive from Transversal Security Management Unit | Chief Director: Properties & Chief Risk Officer | 7 th of every calendar month -Within 30 days after receipt of invoices / claims |
| 33 | Submission of integrity management reports to Office of the Premier Integrity Management. | Directives from Office of the Premier | Manager :Anti-Fraud and Corruption | Monthly – 15 th of subsequent month Quarterly – 30 days after end of quarter |
| 34 | Submission of Premier's Hotline reports to Office of the Premier Batho Pele Service Delivery Complaints | Directives from Office of the Premier. | Manager :Anti-Fraud and Corruption | On or Before the 25 th of each month |
| 35 | Submission of Presidential Hotline reports to Office of the Premier Batho Pele Service Delivery Complaints | Directives from Office of the Premier. | Manager :Anti-Fraud and Corruption | Immediately on discovery |

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| 36 | Submission of a 1st Draft 10 year U-AMP to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 27 June of each year |
| 37 | Submission of a 1st Draft 10 year U-AMP to National Sector Departments. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 26 July of each year |
| 38 | Submission of Project Proposal for projects to be implemented with a value of R10 million or exceeding to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 27 June of each year |
| 39 | Submission of Project Proposal for projects to be implemented with a value of R10 million or exceeding to National Sector Departments. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 27 June of each year |
| 40 | Submission of first Draft 3 year Infrastructure Programme Management Plan (IPMP) for each MTEF | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 30 July of each year |
| 41 | Submission of Concept Reports for projects to be implemented with a value of R10 million or exceeding to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 30 July of each year |
| 42 | Submission of Concept Reports for projects to be implemented with a value of R10 million or exceeding to National Sector Departments | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 29 August of each year |

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| 43 | Submission of Quarterly reports on filling of posts on the approved establishments for infrastructure units of affected departments to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Corporate Services | End of each quarter |
| 44 | Submission of Quarterly reports on filling of posts on the approved establishments for infrastructure units of affected departments to National Sector Departments. | Provincial Treasury Practice Note | Chief Director: Corporate Services | End of each quarter |
| 45 | Submission of first draft 2 year Infrastructure Programme Implementation Plan (IPIP) projects by implementing Agents (departments to submit to Provincial Treasury). | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 01 October of each year |
| 46 | Department of Public Works, Roads and Infrastructure to submit draft C-AMP to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 31 October of each year |
| 47 | Department of Public Works, Roads and Infrastructure to submit draft C-AMP to National Sector Departments. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 29 November of each year |

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| 48 | Submission of reprioritised 10 year U-AMP/RAMP, IPMP and IPIP including initial list of prioritised projects. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 30 January of each year |
| 49 | Submission of quarterly report on filling of posts on the approved establishments for Infrastructure Units of affected departments to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Corporate Services | 15 January of each year |
| 50 | Submission of quarterly report on filling of posts on the approved establishments for Infrastructure Units of affected departments to National Sector Departments. | Provincial Treasury Practice Note | Chief Director: Corporate Services | End of each quarter |
| 51 | Department of Public Works, Roads and Infrastructure submit the Final C-AMP to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | End of each quarter |
| 52 | Department of Public Works, Roads and Infrastructure submit the Final C-AMP to Provincial Treasury. | Provincial Treasury Practice Note | Chief Director: Properties and Facilities | 09 May of each year |

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| 53 | Monthly report on Labour Relations cases | Grievance rules and Disciplinary code and procedure | Chief Director: Corporate Services | End of each month |
| 54 | Quarterly report on Labour Relations cases | Grievance rules and Disciplinary code and procedure | Chief Director: Corporate Services | Quarterly (7 days after the end of the quarter) |
| 55 | Half yearly report on Grievance to Public Service Commission | Grievance rules and Disciplinary Code and Procedure (In terms of the PSC circular) | Chief Director: Corporate Services | Half Yearly (September of each year) |
| 56 | Annual report on Financial Misconducts cases | Section 85(1) of the PFMA 1999, read with Chapter 4 of the Treasury Regulation. | Chief Director: Corporate Services | As per Circular from Public Service Commission. |
| 57 | HR Plan Implementation Report for each financial year | Public Service regulations Part (iii),D | Chief Director: Corporate Services | Annually (Due on or before 30 September every year) |
| 58 | SMS Financial Disclosures for each financial year. | Public Service Act, 1994; Section 7(3) Public Service Regulations, 1999/ 20019 Section C.4 and C.5 | Chief Director: Corporate Services | Annually (Due date 31 May every year) |

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| 59 | Employment Equity Reports | Employment Equity Act 1998 Act No. 55 of 1998 Section 54 of the Act Annually | Chief Director: Corporate Services | (Online: Due date 15 January 2015) |
| 60 | Compilation and submission of Performance Instructions (PIs) or Agreements (PAs) for 2014/15 financial year to HRD | Public Service regulations, 2001. | Chief Director: Corporate Services | 1 st April of each Financial year |
| 61 | Signing of Progress Review Discussions (PRDs) for financial year. | Public Service regulations, 2001 | Chief Director: Corporate Services | Within a month subsequent to the quarter. |
| 62 | Signing of Annual Performance Assessments for each financial year | Public Service regulations, 2001 | Chief Director: Corporate Services | 31 st May each year |
| 63 | Submission of monthly PMDS reports to Office of the Premier | Premiers office | Chief Director: Corporate Services | 15 days of each month |
| 64 | Conducting Advisory committee meetings for Employee Health and Wellness | EAPA Standards | Chief Director: Corporate Services | Quarterly |
| 65 | Conducting OHS meetings | Health and Safety Act 85 of 1993 | Chief Director: Corporate Services | Quarterly |
| 66 | Conducting OHS audits | Health and Safety Act 85 of 1993 | Chief Director: Corporate Services | Quarterly |

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| 67 | Training of SHE representatives | Health and Safety Act 85 of 1993 | Chief Director: Corporate Services | Annually |
| 68 | Payment for Injury on duty cases | Compensation for Occupational Injuries and Diseases Act 130 of 1993. | Chief Director: Corporate Services | Within 30 days |
| 69 | Section 32 report, Promotion of Access to Information Act (PAIA) to Human Rights Commission | Promotion of Access to Information Act, No 2 of 2000, Section 32 | Chief Director: Corporate Services | Annually |
| 70 | Section 15 report, Promotion of Access to Information Act (PAIA) to Minister of Justice and Constitutional Development | Promotion of Access to Information Act, No 2 of 2000, Section 15 | Chief Director: Corporate Services | Annually |
| 71 | Submission of SMS PMDS compliance report to DPSA | Cabinet decision 2009 | Chief Director: Corporate Services | 31 st May each year (also in the annual report) |
| 72 | Establishment/Existence of PMDS and Moderating Committees | PMDS Framework | Chief Director: Corporate Services | On-going |
| 73 | HRD Strategy Implementation Plans | DPSA | Chief Director: Corporate Services | 24 March each year |
| 74 | Evidence of all training interventions carried out by the department | PSETA | Chief Director: Corporate Services | Quarterly (10 th of July each year) |

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| 75 | Quarterly Monitoring Report | PSETA/Premier's office | Chief Director: Corporate Services | Quarterly (10 th of July each year) |
| 76 | PSETA Expenditure Reports | PSETA/Premier's office | Chief Director: Corporate Services | Quarterly (10 th July each year) |
| 77 | Workplace Skills Plan | Premier's office PSETA | Chief Director: Corporate Services | 30 June each year |
| 78 | HRD Strategy Monitoring Tool | DPSA | Chief Director: Corporate Services | March each year |
| 79 | EPWP progress on job creation | EPWP Five Year Business Plan | Chief Director: EPWP | Monthly to EPWP Sectors Social Sector: Infrastructure |
| 80 | EPWP progress on job creation | EPWP Five Year Business Plan | Chief Director: EPWP | Monthly to Environment & Culture: |
| 81 | EPWP progress on job creation | EPWP Five Year Business Plan Directive from NDPW | Chief Director: EPWP | Quarterly to the National Department Public Works |
| 82 | Road Asset Management Plan (RAMP)-1 st Draft | DoRA/Treasury | Chief Director: Roads and Infrastructure | Provincial Treasury-27 June for each financial year |
| 83 | Road Asset Management Plan (RAMP)-1 st Draft | DoRA/DoT | Chief Director: Roads Infrastructure | DoT-26 July for each financial year |

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| 84 | Project Proposals for each financial year (projects with a value of R10m and higher) | Instruction Note No.05 of 2014 Provincial Treasury | Chief Director: Roads Infrastructure | Provincial Treasury-27 June for each financial year |
| 85 | Project for each financial year (projects with a value of R10m and higher) to DoT | Provincial Treasury Instruction Note No.05 of 2014 | Chief Director: Roads Infrastructure | DoT-26 July for each financial year |
| 86 | Concept reports projects(projects with a value of R10m and higher) to PT | Provincial Treasury Instruction Note No.05 of 2014 | Chief Director: Roads Infrastructure | 30 Sept. for each financial year |
| 87 | Concept reports projects(projects with a value of R10m and higher) to DoT | Provincial Treasury Instruction Note No.05 of 2014 | Chief Director: Roads Infrastructure | 22 Oct for each financial year |
| 88 | Reprioritised RAMP for each financial year to PT | Provincial Treasury Instruction Note No.05 of 2014 | Chief Director: Roads Infrastructure | 30 Jan for each financial year |
| 89 | Reprioritised RAMP to DoT | Provincial Treasury Instruction Note No.05 of 2014 | Chief Director: Roads Infrastructure | TBA |

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|----|---|--|--------------------------------------|---|
| 90 | Infrastructure Reporting Model (IRM) to PT | Provincial Treasury Instruction Note No.05 of 2014 | Chief Director: Roads Infrastructure | 15 th of every month |
| 91 | Infrastructure Reporting Model (IRM) to DoT | Provincial Treasury Instruction Note No.05 of 2014 | Chief Director: Roads Infrastructure | 22 nd of the month subsequent to end of each quarter |

19. REVIEW AND CONTINUOUS IMPROVEMENT OF THE MONITORING & EVALUATION FRAMEWORK

The M&E Framework will be reviewed after five years.

Approved for Implementation



ACTING HEAD OF DEPARTMENT

16/10/2015

DATE