



Province of the
EASTERN CAPE
COOPERATIVE GOVERNANCE
& TRADITIONAL AFFAIRS

MONITORING AND EVALUATION POLICY

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SIGN-OFF

HEAD OF DEPARTMENT

This Policy on the Monitoring and Evaluation (M&E) has been recommended by Andile Fani in my capacity as Head of Department (HOD) for the Department of Cooperative Governance and Traditional Affairs (DCoGTA), Eastern Cape Province.

I am satisfied and concur with the contents of this Policy. The Department of Planning, Monitoring and Evaluation developed the Policy Framework for Government-Wide Monitoring and Evaluation System (GWMES) in collaboration with National Treasury. A requirement of the GWMES Policy Framework is that every government institution must formally adopt and institutionalise M&E policy, internally.

The development of the policy on Monitoring and Evaluation will ensure the department is able to exercise its powers in compliance with the law and guide decision-making in the department.

RECOMMENDED: SIGNATURE	
DESIGNATION	HEAD OF DEPARTMENT MR. A.A FANI
DATE	17/02/2024

EXECUTIVE AUTHORITY

The Department of Cooperative Governance and Traditional Affairs has an opportunity to improve the lives of the municipal communities by effectively providing services that it is expected to provide in terms of the laws. This policy sets out the monitoring and evaluation guidelines for the Department of Cooperative Governance and Traditional Affairs. The M&E Policy gives the staff guidance on what their responsibilities are, how to approach these tasks, and how often the tasks are to be performed and reported.

I therefore trust that the guidance from this Policy will contribute to the effective integration of Monitoring and Evaluation in the Department.



APPROVED SIGNATURE	
DESIGNATION	MEMBER OF EXECUTIVE COUNCIL: MR. XOLILE NQATHA
DATE	

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GLOSSARY	
AO	Accounting Officer
E-M&E	Electronic Monitoring and Evaluation
DCoGTA	Department of Cooperative Governance & Traditional Affairs
DDG/Executive Manager	Deputy-Director General
DSCs	District Support Centres
FMGPI	Framework for Managing Programme Performance Information
GWMES	Government-Wide Monitoring and Evaluation System
HOD	Head of Department
PFMA	Public Finance Management Act
M&E	Monitoring and Evaluation
NEPF	National Evaluation Policy Framework
PMDS	Performance Management and Development
PoE	Portfolio of Evidence

1 THE POLICY STATEMENT

1.1 The Policy seeks to facilitate and coordinate the monitoring, reporting and evaluation efforts of the Department of Cooperative Governance and Traditional Affairs in the implementation of its 5-year Strategic Plan and the Annual Performance Plan, in consistence with the mandate of the department.

1.2 The monitoring and evaluation concept is not just a once-off process but an ongoing process through which organisations are required to continuously monitor and evaluate their programmes for improved performance and informed decision making.

2 POLICY OBJECTIVES

The policy intends to:

- 2.1 Guide the development of a monitoring and evaluation system that will inculcate a culture of monitoring, reporting and evaluation throughout the department;
- 2.2 Ensure accountability on the implementation and reporting on departmental priorities by defining roles and responsibilities in the system;
- 2.3 Regulate performance monitoring and reporting on performance information through Monthly, Quarterly, Half-year and Annual Reports;
- 2.4 Establish and regulate a system of managing portfolios of evidence for performance reports and
- 2.5 Provide guidance on overall performance information management, as an ongoing process.

3 THE LEGISLATIVE AND POLICY CONTEXT

3.1 The Constitution of 1996: Section 195 of the Constitution outlines key principles that must form the foundation for public administration. These principles form a firm basis for monitoring and evaluation of government programmes.

3.2 Public Audit Act, 2004: In terms of sections 20(2) (c) and 28(1) (c) of the Public Audit Act of 2004, the Auditor General is required to audit the performance information reported by public entities against predetermined objectives.

- 3.3 Public Finance Management Act, 1999:** The PFMA, 1999, (40) (3)(a) requires that the Accounting Officer of the department must prepare and submit an Annual Report that fairly represents the state of affairs of the department; its business, its financial results, its performance against predetermined objectives.
- 3.4 Treasury Regulations (Published in March 2005):** Clause 18 (18.3.1) details the contents of the Annual Report which includes the information about the institution's efficiency, economy and effectiveness in delivering programmes and achieving its objectives and outcomes against the measures and indicators set out in a strategic plan. This calls for the Accounting Officer to establish a system of reporting in order to monitor the implementation of the Annual Performance Plan.
- 3.5 Framework for Managing Programme Performance Information 2007:** according to this framework performance information facilitates effective accountability, enabling legislators, members of the public and other interested parties to track progress, identify the scope for improvement and better understand the issues involved.
- 3.6 Policy Framework for Government-wide Monitoring and Evaluation (Published in November 2007):** This is an overarching policy framework for monitoring and evaluation for all arms of Government in South Africa. It seeks to establish a system that will provide reliable information on the implementation of government programmes, facilitate analysis of government's performance and improve Monitoring and Evaluation practices.
- 3.7 National Evaluation Policy Framework 2011:** It seeks to address the use of evaluation to promote improved impact of government programmes, and at the same time increase transparency and accountability.
- 3.8 Performance Management and Development Policy (PMDS):** This policy seeks to guide the implementation of the Performance Management and Development System within the department. It further provides standards against which the performance of individual employees is monitored and measured to allow for management of performance (the rewarding of deserving employees and dealing with poor performance) in a manner that will enhance efficiency and effectiveness.

4 POLICY PRINCIPLES

The policy is based on Batho Pele principles and the following principles:

- 4.1 Transparency:** All findings must be publicly available unless there are compelling reasons to do otherwise
- 4.2 Accountability:** use of resources is open and individuals are held responsible for their areas of performance.
- 4.3 Respect:** dignity and self-esteem is built amongst stakeholders and affected people.
- 4.4 Performance improvement:** variables reflecting institutional performance are analysed and reviewed and links are identified and responsive strategies are formulated.
- 4.5 Capacity building:** the focus should be building capacity and empower employees to work better and deliver on the organizational mandate.

5 ELEMENTS OF AN MONITORING AND EVALUATION SYSTEM

- 5.1 Planning:** Identifying information to guide the project strategy, ensure effective operations and meet external reporting requirements. Then deciding how to gather and analyse this information and document a plan for the Monitoring and Evaluation system.
- 5.2 Implementation:** a process of gathering and managing information through informal as well as more structured approaches. Information comes from tracking which outputs, outcomes and impacts are being achieved and checking project operations.
- 5.3 Participation:** This includes the identification and participation of the relevant stakeholders.
- 5.4 Communication:** The Monitoring and Evaluation results must be communicated to the people who need to use it.
- 5.5 Linkages:** The framework must relate to other Monitoring and Evaluation framework linkages.
- 5.6 Individual performance and organisational performance:** Key Performance Areas of all individual employees should be linked to the organisational strategic objectives.

5.7 Electronic Monitoring and Evaluation: The Department should utilise the E-M&E system to ensure efficiency, and curb errors on the report for improved performance information management.

6. DEPARTMENTAL PERFORMANCE REVIEWS

- 6.1. Directorates, District Support Centres and Chief directorates must hold their quarterly performance reviews between the 1st -10th day of the first month following the end of the quarter,
- 6.2. Branches must hold quarterly performance reviews between the 10th – 15th day of the first month following the end of the quarter.
- 6.3. The report must be subjected through the internal quality assurance process by Monitoring and Evaluation Unit between the 15th -25th day of the month for validation of the reported performance.
- 6.4. The Director for Internal Audit Unit must conduct evaluation of validated performance reports between the 15th-25th day of the first month following the end of the quarter.
- 6.5. Portfolios of evidence must be collated and submitted together with the loading of reports in the electronic quarterly reporting system by Monitoring and Evaluation before the 10th day of the month after the end of the quarter.
- 6.6. A departmental quarterly performance reviews must be convened between 25th – 30th day of the month at the end of the quarter.
- 6.7. A departmental mid-year performance review must be convened before the 25 October of each year in order to assess performance and guide the budget adjustment process.
- 6.8. The departmental end of the financial year review must be held before the end of April every year in order to assess the annual performance and consolidate the annual performance report.
- 6.9. An end term five-year performance review must be held after the end of the previous government term, and a comprehensive report must be submitted within two months of the new term for the HOD's attention and subsequently the MEC.

7. TIMEFRAMES FOR SUBMISSION OF REPORTS

- 7.1. The Accounting Officer must submit Quarterly, Half-Yearly Financial Oversight and Annual Reports to the Executive Authority to ensure effective monitoring, evaluation and setting up of corrective actions to improve the departmental performance.
- 7.2. Programme Managers/ (DDGs) must submit quality checked and credible performance information prepared in terms of Sections 20(2) (c) and 28(l) (c) of the Public Audit Act, 2004 to the Accounting Officer or a person delegated by the Accounting Officer by the 10th May of each year for preparation of Annual report for submission to auditing by Auditor-General by 31st May.
- 7.3. Programme Managers (DDGs) must ensure that the sub-programmes under their management submit their annual reports as required by Section 40(3) of the Public Finance Management Act, 1999 to the Accounting Officer or a person designated by the Accounting Officer before the 10th day of May each year.
- 7.4. Sub-programme Managers must submit monthly reports for all the sub-programmes under their management on or before the fifteenth (15th) day of the month following the end of each month to the Programme Managers.
- 7.5. Programme Managers (DDGs) must submit quarterly reports for all the sub-programmes under their management on or before the fifteenth (15th) day of the month following the end of each quarter to the Accounting Officer or a person designated by the Accounting Officer.
- 7.6. Programme Managers-(DDGs) must submit half-year financial oversight reports for all the sub-programmes under their management as required by Rules 192 of the Standing Rules of the Legislature by the 10th October of each year to the Accounting Officer or a person designated by the Accounting Officer.
- 7.7. Monitoring and Evaluation Director must submit Annual Report to Chief Director [Strategic Management and Information Services] for review; DDG's conduct final review and approval by HoD/AO before submission to AG on or before the 25th day of May each year.
- 7.8. Programme Managers (DDGs)/Executive Managers shall confirm the correctness and accuracy of information under their respective branches through the submission of a

signed Information Accuracy Certificate for the HOD's attention before the HOD can approve the Annual Report for submission before the 25th day of May each year.

- 7.9. Portfolios of evidence must be submitted along with all the reports as dealt with in clauses 7.2, 7.3, 7.5 & 7.6. Any submission which is not accompanied by such portfolio of evidence will be deemed incomplete.
- 7.10. Programme Managers (DDGs) must submit their Evaluation requirements by 30th November of each year, prior the start of a new financial year.
- 7.11. Monitoring and Evaluation Directorate shall conduct annual evaluation of the Department's performance in relation to the Annual Performance Plan.
- 7.12. Evaluation Reports must be presented to SMS for consideration.

8. ROLES AND RESPONSIBILITIES

- 8.1. **Executive authority:** must use Monitoring and Evaluation findings in the oversight of the departmental performance and for ensuring that desired outcomes and impacts are achieved.
- 8.2. **Accounting Officer:** Accountable for the frequency and quality of Monitoring and Evaluation information and the integrity of the systems responsible for its production and utilization. The Accounting Officer must ensure that prompt managerial action is taken in relation to Monitoring and Evaluation findings.
- 8.3. **Programme Managers:** must maintain the M & E system within their areas of responsibility, to ensure proper collection, capturing, verification and use data and information.
- 8.4. **Sub-Programme Managers (Chief Directors):** must collate and maintain portfolios of evidence for the data and information and ensure timely submission of reports.
- 8.5. **Senior Managers:** must compile, collate, capture, verify data and portfolio of evidence within areas of responsibility and ensure timely submission to their Chief Directors

- 8.6. **Director for the Monitoring and Evaluation Unit:** must ensure the implementation of Monitoring and Evaluation strategies by providing expertise and support as well as act as a service hub for related initiatives.
- 8.7. All the management levels (Directors, Chief Directors and DDGs) must ensure that POE submission is quality checked and aligned to the performance reports submitted in line with clause 7.8.
- 8.8. **Individual members of staff:** should develop their individual performance plans that are aligned to the adopted organisational indicators and targets. They must also maintain proper records of performance so as to make reporting on set targets easy.

9. PERFORMANCE MONITORING AND EVALUATION GOOD PRACTICES

- 9.1. The Monitoring and Evaluation Unit must serve as a central point at which M&E outputs should be lodged and stored for ease of access and to ensure they are known about and to encourage their utilisation.
- 9.2. The core of a central Monitoring and Evaluation repository should be a reliable and easily accessible catalogue of studies and their findings and recommendations that is available to any interested party.
- 9.3. It is critical that Monitoring and Evaluation findings are responded to promptly (i.e. corrective action be taken swiftly in the case of bottlenecks and good practices emulated). A report on this matter should be provided by the Accounting Officer to its Executing Authority.
- 9.4. Quality assurance of documents is the responsibility of the entire management in producing credible information

10. DESIGNING THE ORGANISATIONAL PERFORMANCE MODEL

- 10.1. This organizational performance model is a simple tool that is designed to help the Department of Cooperative Governance and Traditional Affairs to fulfil the desired objectives of the Monitoring and Evaluation Framework.
- 10.2. The policy guide proposes a model that should be used to assess the performance of the department, which is line with some of the assessment areas of the Public Service

Commission, which include Strategic Planning and Reporting, Financial Management, Human Resource Management, and Service Delivery.

- 10.3. The proposed model for the department will focus on the four areas:
- (a) Service Delivery;
 - (b) Compliance;
 - (c) Leadership Performance; and
 - (d) Human Resource Index.

11. PHILOSOPHY OF THE MODEL

11.1. The outcome of the model is based on the following in terms of its achievements:

- 11.1.1. **Alignment:** The model will assess the performance of the institution using both Annual Performance Plan, technical indicator descriptions, Operational Plan and quarterly scores looking at the strategic objectives, and set targets.
- 11.1.2. **Portfolio of evidence:** Actual score of the institution will be assessed based on the supporting documents in all quarters.
- 11.1.3. **Capacity:** The model will use the assessment results for capacity building purposes versus punitive measures or unintended ulterior motives

12. PILLARS OF THE MODEL

- 12.1. **Service delivery:** this done through the assessment of the Annual Performance Plan, Operational Plan and Quarterly Performance Report.
- 12.2. The businesses units will be given the opportunity to score themselves thus give a room for the Unit for Monitoring and Evaluation to conduct its assessment and verification. This pillar will be assessed through Annual Performance Plan and Quarterly Performance Report information, and portfolio of evidence of information
- 12.3. **Human Resource Index:** Assessment will be conducted through Human Resource information to look at the impact on service delivery, i.e. vacancies and other issues.

12.4. **Compliance:** Assessment will be conducted to examine the following compliance areas:

12.4.1. Annual Performance Plan: submission of information on prescribed dates and deadlines, and quality, and compliance with the format/template).

12.4.2. Quarterly Performance Report: submission of information on prescribed dates and deadlines, and quality, and compliance with the format/template.

12.4.3. Portfolio of evidence: submission of the supporting documents.

12.4.4. Annual Reports: Relevance to the Annual Performance Plan as original planned in the reported financial year, and submission of information on prescribed dates and deadlines.

13 CONSEQUENCE TO NON-ADHERENCE TO THE POLICY PROVISION.

It is the responsibility of the Management of COGTA to ensure that the contents of this policy is understood and adhered to. Consequence management will be implemented for non-adherence to this Policy based on the legislative framework governing the Public Sector.

14 APPROVAL OF THE POLICY

The Policy shall be recommended by the Head of Department and must be approved by the Member of Executive Authority as per the updated Departmental Delegations, and the Policy will become official on the date of approval by the MEC for Department of Cooperative Governance & Traditional Affairs.

15 REVIEW OF THE POLICY

The Policy shall be reviewed once in three years from the date of approval.

-----END OF THE M&E POLICY-----

REFERENCES

RSA Constitution of 1996, as amended

Public Audit Act, 2004

Public Finance Management Act, 1999

Treasury Regulations, (Published in March 2005)

Framework for Managing Programme Performance Information, 2007

Policy Framework for Government-wide Monitoring and Evaluation, (Published in November 2007)

National Evaluation Policy Framework, 2011

Performance Management and Development Policy, (PMDS)

Rules 192 of the Standing Rules of the Legislature

Batho Pele principles