

**A MONITORING AND EVALUATION POLICY FRAMEWORK**

**FOR SOCIAL DEVELOPMENT**

**FEBRUARY 2019**

**Version 3**

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| **PREFACE** | | |

The National Department of Social Development addresses social development issues in the South African context. It does so through a partnership involving nine Provincial Departments of Social Development, two implementing agencies, non- governmental organizations and the private sector. In such a large partnership a special challenge is posed in adequately monitor and evaluate the achievements of the social development sector taking into account the activities of all partners in a consistent and coherent manner. This Policy Framework aims to address that challenge.

This Policy Framework has been developed through an extensive process of consultation with all partners. A brainstorming consultative workshop was held in 2018 with evaluation experts, monitoring practitioners and national and provincial programme managers from the National and Provincial Departments of Social Development. Various follow-up meetings were held with National and Provincial Programme Managers and Provincial M&E Units.

The Policy Framework contains minimum requirements for monitoring and evaluation for Social Development Programmes, applications of M&E at the programme level and programme evaluation. The requirements call for concrete and fully budgeted M&E plans for programmes with indicators, baselines and responsibilities. These plans need to be implemented according to plan and the evaluations need to meet minimum quality standards. The Policy Framework underwrites the independence of evaluations. It also establishes the responsibility of the National CD M&E and the Provincial Departments of Social Development for monitoring implementation at the programme and project level.

The next challenge is to operationalize the Policy Framework. The National CD M&E will develop operating procedures that will give guidelines on the implementation of the Policy Framework. Additional training tools on specific subjects will be developed by the National Chief Directorate M&E such as indicators, baselines, M&E plans and evaluations. These will be available on the National Department’s website. Challenges that will require continued attention will be the development of impact indicators and baselines for the Social Development Programmes and the effective promotion of knowledge sharing and learning.

I would like to thank everyone who contributed to the process of drafting the Policy Framework.

**DIRECTOR GENERAL SOCIAL DEVELOPMENT**

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| **ABBREVIATIONS AND ACRONYMS** |

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| **AGSA** | **Auditor - General of South Africa** |
| **APP** | **Annual Performance Plans** |
| **AO** | **Accounting Officer** |
| **CD** | **Chief Directorate** |
| **DSD** | **Department of Social Development** |
| **DPME** | **Department of Planning and Monitoring and Evaluation** |
| **FSAPP** | **Framework for Strategic Plans and Annual Performance Plans** |
| **M&E** | **Monitoring and Evaluation** |
| **MTEF** | **Medium-Term Expenditure Framework** |
| **MTSF** | **Medium-Term Strategic Framework** |
| **NDA** | **National Development Agency** |
| **SASSA** | **Social Security Agency of SA** |
| **NPOs** | **Non-Profit Organizations** |
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| 1. **BACKGROUND, SITUATIONAL ANALYSIS AND PURPOSE OF THE POLICY FRAMEWORK** |

**1.1 BACKGROUND**

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| **1.** | The South African government, has responded to the growing pressure to be more responsive to demands from internal and external stakeholders for good governance, accountability and transparency. An M&E Policy Framework and the implementation of functional Monitoring and Evaluation (M&E) frameworks is considered to be an effective tool to support good governance, accountability and transparency. This will ensure that government departments are able to demonstrate results for the implementation of their programmes. |  |
| **2.** | There is a drive towards outcome-based management in Government. It is applicable to all sectors, including the social development sector. Each year, Government commits significant resources to support a wide range of social development interventions that are designed to improve the social and economic conditions of the citizens of South Africa.  In the context of good public sector governance, the application of monitoring and evaluation tools to generate reliable and valid information to help Government make sound decisions on social development policies and programmes is becoming increasingly relevant.  Therefore, the implementation of a comprehensive M&E Policy Framework across the social development sector is important to facilitating the achievement of the objectives in the sector This Policy Framework seeks to enhance and put into practice a culture of good M&E in the social development sector. | **Monitoring and Evaluation play an important role in the Social Development Sector** |

**1.2 SITUATIONAL ANALYSIS**

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| **3.** | The Social Development Sector is a sector with concurrent functions and comprises the National Department, its nine provincial counterparts and the two social development agencies, the National Development Agency (NDA) and the Social Security Agency of SA (SASSA).  The constitutional mandate of the National Department of Social Development is to provide sector-wide national leadership in social development.  Based on its mandate, the Department of Social Development serves as the central co-ordinating body for the social development sector and develops and implements programmes for the eradication of poverty, social protection, social welfare and social development amongst the poorest of the poor and the most vulnerable and marginalised. | **Social Development is a sector with concurrent functions** |
| **4.** | The National Department of Social development is responsible for policy and programme development which is implemented by nine Provincial Departments of Social Development.  The strategy for reaching the target populations involves partnerships with an extensive network of Non-Profit Organisations (NPOs) which serve as the main service delivery agents at a provincial and local level and are mostly funded by Government and are regulated by the NPO Act and the Provincial Departments through funding agreements. | **National Department responsible for policy and programme development** |
| **5.** | As a Department with concurrent functions, the Social Development sector should be directly involved in the development of systems and structures to collect performance information, play a supporting role, to manage performance information, and monitor Provincial performance information and use it to evaluate the overall delivery of services in the sector.  Consequently, the need to formalize a monitoring and evaluation system for the social development sector led to the establishment of the Monitoring and Evaluation Chief Directorate in the Department of Social Development in April 2005.  Since then, Provincial Departments has established M&E Units. Provincial Departments are at different levels of establishing fully fledged M&E Units and therefore M&E in the sector is still implemented in a fragmented way.  . | **Social development is a sector with concurrent functions** |
| **6.** | Further to this, the DPME prescribes a process for the standardisation of core programme performance indicators for sectors with concurrent functions. The Social Development Sector has been customized and using standardize indicators since 2005/2006.  The standardisation of programme performance indicators is a process where all provincial departments within a sector, together with their national department, develop and agree on the core set of programme performance indicators for the sector. The indicators are approved by provincial Heads of Department and are incorporated into the Annual Performance Plans of Provincial Departments.  The standardised programme performance indicators also form the basis for the quarterly and annual performance reporting process. The National Department works closely with provinces to plan for these common objectives and assist with targeting. However, provinces remain largely autonomous and have different priorities.  This leads to challenges such as not including and reporting on all customized indicators in the APPs, setting unrealistic and often unachievable targets which affects the quality of performance information. | **Social Development is customized and using standardized indicators since 2005/2006** |
| **7.** | The Government has adopted an outcomes based approach to address challenges in service delivery and to monitor programme performance which is underpinned by 14 outcomes.  The outcomes based approach indicates that Government aims to be accountable, improve on its performance, have a feedback system, provide good governance, transparency, greater efficiency and deliver concrete results.  The Department of Social Development is governed by outcome 13 which addresses an inclusive and responsive social protection system.  The M&E Chief Directorate will, therefore, prioritise those programmes, although the sustained agenda will continue to receive the necessary attention from an implementation and a monitoring and evaluation perspective. | **Outcomes based approach** |

**1.3 PURPOSE OF THE POLICY FRAMEWORK**

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| **8.** | The Policy seeks to provide a framework within which to institutionalise seamless and uniform performance management system and enhance accountability through monitoring and evaluation across the National and Provincial Departments of Social Department including departmental entities and NPOs that are partnered with the Department. The stated purpose will be attained through, amongst others, comprehensively:   * Outlining roles and responsibilities of all stakeholders at institutional and functional levels. * Spelling out standards and obligations through standard operating procedure. * Sketching out appropriate institutional mechanism and mandatory timelines for all stakeholders. | **The Policy Framework defines M&E and outlines the responsibility of the implementing partners** |
| **9.** | The Policy Framework will be operationalized through guidelines and standards that will be developed by the CD M&E in consultation with Provincial partners. The CD M&E will provide capacity building and support to all national programmes and provincial Departments in order to fully operationalize this Policy Framework. The Policy Framework and related guidelines will be shared with the social development partners and the public through the DSD’s website. | **Policy Framework will be shared on DSD’s website** |

**1.4 RESOURCING OF THE POLICY**

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| **10.** | National and Provincial Departments should at least allocate 0.1%-5% of an Intervention/Programme budget on an annual basis and MTEF cycle in line with page 16 of the National Evaluation Framework, section 7.3 Planning and Budgeting of Evaluation.  The Monitoring and Evaluation function should be capacitated and structured in line with the Provincial M&E Organisational Structure in the section that deals with Structures. Moreover, ongoing capacity building of M&E practitioners and programme managers in line with ongoing developments should be kept abreast by both National, Provincial, Departmental Entities and Partnered NPOs. | **5% of programme budgets for M&E** |

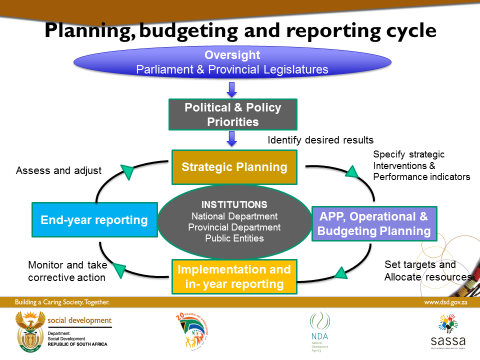
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| 1. **GOVERNMENT PLANNING CYCLE AND PLANNING FRAMEWORKS GUIDING THE WORK OF THE SOCIAL DEVELOPMENT SECTOR** |

**2.1 THE CONSTITUTION**

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| **11.** | The Constitution of the Republic of South Africa is the supreme law of the Republic. Any law of conduct inconsistent with the Constitution is invalid. Chapter 10 of the Constitution stipulates the basic values and principles governing public administration, including promoting efficient, economic and effective use of resources as well as ensuring that public administration is accountable.  The Constitution states that Members of the Cabinet are accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions and that they must provide Parliament with full and regular reports concerning matters under their control. This is why government departments, including the DSD, are often invited to the Parliament to provide progress on the implementation of their plans and delivery of services within the portfolio of their political principals. |  |

**2.2 THE GOVERNMENT PLANNING, BUDGETING AND REPORTING CYCLE**

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| **12.** | The diagram below shows the relationship between planning, budgeting and reporting processes that are part of a good M&E system. |  |



**2.2 THE GOVERNMENT WIDE MONITORING AND EVALUATION FRAMEWORK**

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| **13.** | The Government Wide Monitoring and Evaluation Framework is a high level Policy Framework issued by the Presidency. This policy framework describes the government-wide monitoring and evaluation system and how they relate to each other. The GWM&E Framework has three components which includes Programme Performance Information, Social, Economic and Demographic Statistics and Evaluations. The framework further describes how all public entities, including the Department of Social Development, should approach monitoring and evaluation. This document is available on <https://www.dpme.gov.za/publications/Pages/Policy-Frameworks.aspx> | **The Government Wide Monitoring and Evaluation Framework describes how all public entities, should approach monitoring and evaluation** |

**2.4 THE FRAMEWORK FOR MANAGING PROGRAMME PERFORMANCE INFORMATION**

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| **14.** | National Treasury’s “Framework for Managing Programme Performance Information” provide the framework for programme performance information component of the GWM&E. This framework provide the overarching conceptual framework for DSD’s approach to monitoring its performance.  The Framework can be found along with other useful Guidelines released by National Treasury at the following address: <http://www.treasury.gov.za/publications/guidelines>  In terms of this framework, government departments, including the DSD produces two important types of performance reports: Quarterly Performance Reports and Annual Reports. The elements of the Framework are summarised in this diagram and are addressed separately below | **The “Framework for Managing Programme Performance Information” provides the overarching conceptual framework for DSD’s approach to monitoring its performance.** |

**2.5 SOUTH AFRICAN STATISTICAL QUALITY ASSURANCE FRAMEWORK**

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| **15.** | The South African Statistical Quality Assurance Framework (SASQAF), developed by Statistics South Africa, is a framework which provide a structure for the assessment of statistical products in South Africa. For any statistical data or information to be classified as official statistics, it is assessed against the quality dimensions as stipulated in the framework.  SASQAF further provide for the periodic review of statistical series that have attained the status of official statistics to ensure that they maintain a good practice. The framework can be found at <http://www.statssa.gov.za/standardisation/SASQAF_Edition_2.pdf> | **SASQAF provides a structure for the assessment of statistical products** |

**2.6 THE NATIONAL EVALUATION POLICY FRAMEWORK**

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| **16** | This Policy Framework provides the basis for a minimum system of evaluation across government. Its main purpose is to promote quality evaluations which can be used for learning to improve the effectiveness and impact of government, by reflecting on what is working and what is not working and revising interventions accordingly. It seeks to ensure that credible and objective evidence from evaluation is used in planning, budgeting, organisational improvement, policy review, as well as ongoing programme and project management, to improve performance. It provides a common language for evaluation in the public service.  The Framework can be found along with other useful Guidelines released by the Department of Planning, Monitoring and evaluation at the following address: https://www.dpme.gov.za/keyfocusareas/evaluationsSite/Pages/Publications.aspx | **NEPF sets out the basis for government-wide evaluation agenda of priority areas** |

**2.4** **MEDIUM TERM STRATEGIC AND EXPENDITURE FRAMEWORKS**

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| **17.** | The Medium Term Strategic Framework is a conceptual Framework developed by the centre of government that seeks to identify the development challenges that the public sector has to confront over the coming five years. It serves to guide planning and budgeting across all three spheres of government. As a statement of intent, the MTSF serves as the principal guide to government planning and resource allocation.  The Medium Term Expenditure Framework is the spending plan developed from the Strategic Framework and seeks to align the planning and expenditure planning cycles of government as a whole.  The MTSF and MTEF form the underlying foundation of the DSD’s strategic and financial planning as well as its monitoring and evaluation.  The Medium Term Strategic Framework on priority outcomes can be found on <https://www.dpme.gov.za/Pages/default.aspx> | **The MTSF serves as the principal planning guide**  **The MTEF is the spending plan** |

**2.8 PUBLIC FINANCE MANAGEMENT ACT**

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| **18.** | The Public Finance Management Act, Act No. 1 of 1999 (PFMA) sets out legal requirements for establishment of processes for managing performance information in government departments. The PFMA stipulates that an Accounting Officer of an institution must prepare and submit an annual report on the activities of the department to Auditor General for Auditing and to National Treasury and Executive Authority responsible for that department.  The PFMA further compels the Executive Authority responsible for a department to table in the National Assembly or provincial legislature, the Annual Report and financial statements and the audit report on those statements, within one month after the Accounting Officer for the department received the audit report.  Like all government departments, the DSD complies with the legislative requirements set out in the PFMA. The PFMA and other key legislation can be found on the National Treasury website on http://www.treasury.gov.za/legislation/ | **The Accounting Office of an institution must prepare and submit annual report** |

**2.9 NATIONAL TREASURY REGULATIONS**

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| **19.** | The National Treasury Regulations are issued in term of the PFMA. These regulations applies to government departments, trading entities, constitutional institutions and public entities. According to the Regulations, an Accounting Officer (Director General) of an institution must establish procedures for quarterly reporting to the Executive Authority to facilitate effective performance monitoring, evaluation and corrective action. It is from these regulations that Departments produces quarterly reports for submission to the Executive Authority, National Treasury and the Department of Planning, Monitoring and Evaluation. The regulations can be found on the National Treasury website on http://www.treasury.gov.za/legislation/ | **An Accounting Officer must establish procedures for quarterly reporting** |

**2.10 THE FRAMEWORK FOR STRATETIC PLANS AND ANNUAL PERFORMANCE PLANS**

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| **20.** | The Framework for Strategic Plans (SP) and Annual Performance Plans (APP) is issued by National Treasury. This framework set out guidelines to develop and align strategic and annual performance planning. It also provides timeframes for submission, tabling and reporting on the APP and SP.  It is from these framework that the DSD prepares and tables its strategic plans and annual performance plans to various stakeholders at various time periods in relation to the planning and reporting cycle of government. The framework can be found at http://www.treasury.gov.za/publications/guidelines/default.aspx | **DSD prepares and table its strategic plan and annual performance plan** |

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| **3.MONITORING AND EVALUATION IN THE SOCIAL DEVELOPMENT SECTOR** |

**3.1 OBJECTIVES OF M&E IN THE SOCIAL DEVELOPMENT SECTOR**

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| **21.** | Monitoring and Evaluation in the Social Development Sector has the following overarching objectives:   1. To monitor and evaluate outputs, outcomes and impacts of Social Development Sector policies, programmes and projects 2. Promote accountability for the achievement of social development sector objectives through the assessment of processes, outputs and outcomes 3. Promote learning, feedback and knowledge sharing on results and lessons learned among the social development sector and its partners as a basis for decision-making on policies, strategies, programmes and projects 4. Facilitate continuous improvement in service delivery through the assessment of the overall effectiveness and efficiency of social development interventions in terms of their outputs, outcomes, costs and impacts. |  |
| **22.** | The Social Development Sector M&E Policy Framework objectives will be implemented through :   * Ensuring that National and Provincial Programme Managers of the Department of Social Development are supported in monitoring and evaluation functions by the National M&E Chief Directorate * Ensuring that these M&E Units operating effectively within the National and Provincial Departments of Social Development through provisioning of relevant capacity development support. * Establishing criteria for measuring performance, outcomes and impacts for all policies, programmes and projects implemented by Department of Social Development. * Undertaking evaluation studies to guide decisions on social development policies, programmes and projects. * Developing mechanisms for the feedback and dissemination of M&E information to all stakeholders and good practises. | **The M&E Policy Framework objectives will be implemented by the CD M&E** |

**3.2 MONITORING PROGRAMME FOR SOCIAL DEVELOPMENT**

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| **23.** | A Social Development Sector-wide monitoring programme is essential to successfully monitor social development programme performance. Such a programme is standardized and measure indicators up to an output and in some instances outcome level. |  |
| **24.** | The social development sector wide monitoring programme comprise of three components:   * **Monitoring of standardize indicators at a provincial level**: A set of customized and standardized indicators that is develop by National M&E in collaboration with Provincial Departments of Social Development, agreed upon and signed off by HODs to be included in the annual APP, targeted for and reported on a quarterly basis. The review and implementation process will follow:   + The guidelines that outlines the requirements for standardisation of programme performance indicators as per the Framework for Strategic Plans and Annual Performance Plans (FSAPP) and   + A detailed process plan for the indicator review process developed and approved by Management Structures in Social Development. * **Programme Specific Monitoring**: National and Provincial Programme Managers in collaboration with National Chief Directorate M&E develop M&E Frameworks with Theories of Change and implement detailed monitoring plans for programme implementation based on the M&E Framework.   National programme managers, in collaboration with Provincial Programme managers, develop M&E tools for data collection. The National CD M&E will assist in this process and provide capacity building in the implementation of these M&E plans.   * **National Institutional Performance Monitoring**: National programme managers develop a set of indicators to be included in the APP and Departmental Strategic plan to measure institutional performance.   The National M&E Chief Directorate will develop reporting templates based on the approved Annual Performance Plan.  These templates will be used during the financial year for quarterly performance reporting and at the end of the financial year for annual reports. Quarterly performance reports which culminate in Annual Reports will be developed. Quarterly performance reviews also serve as a platform to assess performance, identify challenges and provide solutions aimed at improving service delivery. | **Standardized indicators agreed upon, signed off and included in Provincial APPs**  **M&E Frameworks with Theories of Change**  **Monitoring of National APP and quarterly performance reviews** |

**3.3 EVALUATION PROGRAMME FOR SOCIAL DEVELOPMET**

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| **25.** | The National CD: M&E has the responsibility to develop Multi-year evaluation plan for the period of three years in collaboration with provincial Departments and other stakeholders such as DPME. The three year plan will be reviewed annually and will be aligned to planning and budgeting processes.  The National Evaluation Directorate will provide advisory and technical support to national programme managers and provincial Departments. Large scale evaluations will be commissioned and conducted by independent evaluators not associated with the programme implementers. These evaluations should be undertaken and managed by national and provincial programme managers.  Provincial Departments of Social Development are responsible to participate in and support the implementation of the annual evaluation plan. Provincial Departments should also develop an internal evaluation plan and conduct internal programme implementation evaluations on an annual basis. | **Develop a multi- year evaluation plan**  **Large scale evaluations by independent evaluators** |
| **26.** | The type of evaluations conducted will be determined by the key evaluation questions asked of the programme/ project. The evaluation conducted should adhere to the Evaluation Standards outlined in Appendix 1.  Provincial departments will submit their final evaluation reports to National DSD M&E Chief Directorate who will then submit the reports to DPME for Quality Assurance and be placed on the DPME Evaluation Repository. | **DPME will do Quality Assurance and place reports on the DPME Evaluation Repository.** |
| **27.** | **The selection of evaluations for the Multi-Year Evaluation Plan focuses on the following:**   * A criteria for selecting evaluations * A list of comprehensive evaluations to be undertaken over a period of three years. * It will be a phased implementation plan taking cognizance of human resource constraints in the sector as a whole and giving priority to interventions as described in the Minister’s priorities. * The multi-year plan will be prepared by the National CD M&E and submitted initially to the Departmental decision making structures for consideration and approved and signed by Director General of National Social Development. * It will be reviewed on an annual basis by the National Chief Directorate M&E in collaboration with the Provincial Social Development Departments and adjusted as needs arise. |  |
| 1. **ROLES AND RESPONSIBILITIES** | | | | |

**4.1 M& E PARTNERS IN THE SOCIAL DEVELOPMENT SECTOR**

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| **28.** | Monitoring and Evaluation are a shared responsibility in the social development sector. The National Department of Social Development is mainly responsible for Policy making and monitoring and evaluation on a strategic level while provincial departments and NPOs are responsible for implementation of social development services and monitoring at a programme implementation level. |  |
|  | **National Department of DSD**  **Oversight and Policy making responsibilities**  Overall performance monitoring and evaluation  Thematic and cross cutting evaluations  Impact Assessments  **Provincial Departments of Social Development**  **Implementing social development programmes**  Standardized indicators, provincial specific indicators, beneficiary satisfaction surveys, process evaluations, diagnostic evaluations  **Implementation Partner: NPOs**  **Delivering services to social development beneficiaries**  Project and programme implementation indicators | **M&E levels and responsible role players**  **Donors and agencies such as USAID and UNICEF plays an advisory and capacity building role** |
| **29.** | The essence of a partnership is that each implementation partner has its own M&E capacity, rules and regulations governing the implementation of M&E activities based on generic principles, procedures, norms and standards to ensure synergy amongst implementation of M&E in Provincial Departments. | **Each implementing partner uses his own M&E capacity** |
| **30.** | The National Department of M&E will have an overarching responsibility of guidance and oversight to ensure that the M&E functions are properly assigned and that appropriate evaluations are undertaken |  |

**4.2 NATIONAL CHIEF DIRECTORATE MONITORING AND EVALUATION DEVELOPMENT – CD M&E**

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| **31.** | The Monitoring and Evaluation Chief Directorate at the National Department of Social Development is responsible for the overall coordination of monitoring and evaluation through the application of a structured monitoring and evaluation policy framework for the social development sector to ensure accountability and oversight of the Social Development Sector Performance. | **The National Department of Social Development sets the M&E Policy Framework** |
| **32.** | The CD M&E has the responsibility to assess the monitoring and evaluation capacity within the social development sector on a systematic basis and conduct periodic training with Provincial Departments, National Programme Officials of Social Development and NPOs to build capacity in monitoring and evaluation. | **The National CD M&E support and build M&E capacity** |
| **33.** | The M&E Chief Directorate are responsible for ensuring active use of M&E products for decision-making and management through and M&E planning system, systematic consideration of findings, conclusions, recommendations and a repository of lessons learned |  |

**4.3 NATIONAL DIRECTORATE PROGRAMME EVALUATIONS**

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| **34.** | The National Directorate responsible for programme evaluations has the central role of ensuring the independent evaluation function within the Social Development Sector through a multi-year evaluation plan for a three year period in collaboration with the Provincial Departments of Social Development, setting minimum requirements for evaluations, ensuring oversight of the quality of evaluations and programmes and project levels and sharing evaluation evidence within the social development sector. | **The Directorate provides guidance and norms and standards on evaluations** |
| **35.** | Where possible and to avoid duplication the Programme Evaluation Directorate collaborates in these evaluations with M&E Units in Provincial Departments of Social Development. |  |
| **36.** | The Directorate Programme Evaluations supports knowledge sharing and follow up on evaluation recommendations. It works closely with M&E Units at a Provincial level to establish systems and platforms to disseminate lessons learned and best practises emanating from evaluation activities and ensures that the evaluation evidence is stored appropriately in a repository. In collaboration with M&E Units at a Provincial level, the Directorate will monitor the implementation of improvement plans. | **The Directorate ensures dissemination of evaluation reports and the implementation of improvement plans** |

**4.4 NATIONAL DIRECTORATE SYSTEMS DEVELOPMENT AND MONITORING MM&E**

**– CD M&E**

**CD M&E**

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| **37.** | The National Directorate Systems Development and Monitoring is responsible for the oversight of Provincial Social Development performance. The oversight is done through the development of standardized indicators in close collaboration and consultation with National and Provincial Programme Managers and M&E Units at the Provincial level. The Directorate produces bi -annual and annual provincial performance reports which is disseminated through decision making forums. | **Provides oversight in monitoring provincial social development performance** |
| **38.** | The Directorate Systems Development and Monitoring takes the lead in the development of M&E frameworks and Theories of Change for Social Development Programmes. These frameworks include M&E plans and technical indicator descriptions. Support and assistance will also be provided for the development of data collection tools, data analysis, reporting and the use of data from performance indicators. | **M&E Frameworks are developed with Theories of Change** |

**4.5 NATIONAL DIRECTORATE INSTITUTIONAL PERFORMANCE MONITORING**

**– CD M&E**

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| **39.** | The National Directorate Institutional Performance Monitoring monitors the Annual Performance Plan of the National Department of Social Development and keeps under review the operation of the Department with respect to its purpose, scope and objectives. It ensures that the APP is monitored on a quarterly basis. | **Monitoring the overall performance of Social Development** |
| **40.** | The Directorate is responsible to collaborate closely with the CD Strategy and Planning to ensure the planning process is aligned to the logical framework process and that indicators that meet the CREAM standards are developed for the planning documents. The Directorate further ensures that realistic target setting takes place. |  |
| **41.** | In support of effective monitoring of the Department of Social Development the Directorate takes the lead to develop quarterly programme performance reports based on the indicators and targets identified in the Department’s APP. The Directorate facilitates quarterly review meetings with National Programme Managers and the Accounting Officer to ensure accountability for programme performance, corrective action and monitoring of the implementation of recommendations. |  |
| **42.** | In its managerial capacity the Directorate prepares the Annual Report of the Department which is tabled every year in Cabinet. This includes responsibility for the preparation of presentations to the portfolio committee and attendance of meetings where this report is discussed. | **The Directorate prepares the Annual Report of the Department** |

**4.6 NATIONAL SOCIAL DEVELOPMENT PROGRAMME MANAGERS**

**– CD M&E**

**CD M&E**

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| **43.** | National Social Development Programme managers lead and supervise the programmes implemented by the Department.  They ensure that realistic and achievable implementation plans with M&E plans and measurable performance indicators are developed, that they are implemented as planned and the results achieved are systematically and conscientiously recorded and reported on. | **National Programme managers lead implementation of social development programmes** |
| **44.** | National Programme Managers ensure that National Programmes actively participate in, agree upon and sign off on standardized indicators for Provincial Programme Performance monitoring. They conduct joint planning sessions and assist Provincial Programme managers to set realistic targets for standardized indicators. |  |
| **45.** | National Programme managers play a major part in the development of the multi-year evaluation plan and participate and support programme evaluations co-ordinated by the National CD M&E. In addition, the programme managers play the following roles:   * Clearly state at the outset what evidence is needed, and how the evidence will be used (this forms the basis for the design of the evaluation) * Ensure evaluators have access to all departmental information that evaluators consider essential for the evaluation * Compile and submit a management response within 60 working days of receiving the final evaluation report and recommendations. The management response must address each of the recommendations contained in the evaluation report; and * Ensure that the improvement plan as approved are implemented. |  |

**4.7 NATIONAL STRATEGY AND PLANNING CHIEF DIRECTORATE**

**– CD M&E**

**CD M&E**

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| **46.** | The Chief Directorate Strategy and Planning is responsible to lead the Social Development Sector planning processes and developing National Department Strategic Plans and Annual Performance Plans. There is a close link between planning, implementation and monitoring and evaluation. The Chief Directorate Strategy and Planning ensures that the M&E Chief Directorate is closely involved throughout the planning process to facilitate a synergy between the strategic planning and M&E process. | **Close link between planning monitoring and evaluation** |
| **47.** | The participation of M&E in the planning process strengthens monitoring and evaluation practices within the Department and the social development sector as a whole. Areas needing attention are:   * Setting of realistic targets based on need, demand and capacity. * Consideration of strategic objectives, targets and indicators and ensuring high quality indicators for the planning documents. * Analysis of data to be used to review the progress of Social Development in terms of 5 year priorities and * Document and dissemination of best practices |  |

**4.8 PROVINCIAL DEPARTMENTS OF SOCIAL DEVELOPMENT**

**– CD M&E**

**CD M&E**

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| **48.** | The Provincial Departments are responsible for implementing social development programmes. They are responsible to participate in the development of standardized indicators, ensure it is included in the APPs, targeted for and reported on a quarter basis through the E-QPR system. | **Ensure M&E at the programme level.** |
| **49.** | Provincial Departments participate with National Programme Managers in developing and implementing Programme M&E plans based on M&E Frameworks and Theories of Change that is developed by National M&E to adequately monitor activities, outputs and progress towards results |  |
| **50.** | The Provincial Departments are responsible to participate in periodic programme evaluations in line with norms and standards provided by the National Programme Evaluation Directorate. |  |
| **51.** | The Provincial Departments work together with National Programme Mangers and the M&E Chief Directorate to exchange lessons learned and information and incorporate lessons learned in their operational plans as appropriate. |  |
| **52.** | Provincial Departments is responsible to establish fully-fledged M&E Units with adequate capacity at all levels, headed by a Director as a minimum requirement. Provincial Departments further provide resources in their annual budgets for the establishment and strengthening of internal monitoring and evaluation capacity. | **Coordinates all M&E activates at a Provincial level.** |
| **53.** | The Provincial Departments of Social development ensure that specific guidelines for monitoring and evaluation of the social development programmes are executed by NGOs and implemented | **Funded NPOs report on agreed upon indicators** |

**4.9 SOCIAL DEVELOPMENT STAKEHOLDERS**

**CD M&E**

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| **54.** | A number of local and international stakeholders are involved in social development monitoring and evaluation activities.  Stakeholders are individuals, other national government departments and institutions and multi-national organizations that have an interest or stake in the outcome of social development projects and programmes including those potentially affected by these programmes.  Their involvement in M&E will depend on the programmes and project and the role of the stakeholder. | **Stakeholder perspectives will be heard** |
| **5.M&E CAPACITY BUILDING for SOCIAL DEVELOPMENT** | | |

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| **55.** | The National Department of Social Development facilitate basic monitoring and evaluation capacity building on an annual basis to various role players that has a stake in M&E in the National Provincial Departments.  The National M&E Chief Directorate will develop a three year capacity building plan targeting data collection officials at district and local levels and National and Provincial Managers.  Provincial Departments are encouraged to also pursue additional training related to monitoring and evaluation wherever available.  Some of the capacity building programmes will be implemented by accredited institutions others will be more informal and conducted by National M&E Officials and other specialists in the sector such as the AG and DPME officials. | **Three year capacity building plans developed and implemented** |

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| 1. **MONITORING AND EVALUATION CRITERIA AND MINIMUM REQUIREMENTS** |

**6.1 INTERNATIONAL CRITERIA**

**– CD M&E**

**CD M&E**

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| **56.** | The National M&E CD ensures the work is guided in various degrees by internationally recognised principles, norms and standards. These principles norms and standards is agreed upon and communicated to all implementing partners in the social development sector as well as to the stakeholders. | **The Policy Framework is based on international norms and standards for M&E** |

**6.2 MONITORING AND EVALUATION CRITERIA**

**– CD M&E**

**CD M&E**

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| **57.** | Criteria for monitoring in the social development sector are:   1. **Specific.** The monitoring system captures the essence of the desired result by clearly and directly relating to the achievement of an objective and only that objective. 2. **Measurable**. The monitoring system and indicators are unambiguously specified so that all parties agree on what they cover and there are practical ways to measure them**.** 3. **Achievable and Attributable.** The monitoring system identifies what changes are anticipated as a result of the intervention and whether the results are realistic. Attribution requires that changes in the targeted developmental issues can be linked to the intervention. 4. **Relevant and realistic**. The monitoring system establishes levels of performance that are likely to be achieved in a practical manner and that reflect the expectations of the stakeholders 5. **Time-bound, Timely, Trackable and Targeted.** The system allows progress to be tracked in a cost-effective manner at the desired frequency for a set period, with clear identification of the particular stakeholder group(s) to be affected by the project or programme. | **Criteria for Monitoring** |
| **58.** | The evaluations in the Multi-year Evaluation Plan will use the Organisation for Economic Co-operation and Development (OECD) – Development Assistance Committee’s (DAC) criteria for evaluating development interventions. The criteria are listed below:   1. **Relevance.** The extent to which the programme is suited to the local and national development priorities and policies for the social development sector. 2. **Effectiveness.** The extent to which an objective has been achieved or how likely it is to be achieved. 3. **Efficiency.** The extent to which social development programme results have been delivered with the least costly resources possible; also called cost-effectiveness or efficacy. 4. **Impact.** The positive and negative, foreseen and unforeseen changes to and effects produced by a social development intervention. 5. **Sustainability.** The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion. Interventions should be environmentally, financially and socially sustainable. | **OECD-DAC Criteria for evaluation** |

**6.3 MINIMUM REQUIREMENTS FOR M&E**

**– CD M&E**

**CD M&E**

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| **59.** | **Minimum requirement 1: M&E Frameworks with Theories of Change**  All Social Development programmes develop M&E Frameworks with Theories of Change with indicators and indicator descriptions | **Theory of Change….** |
| **60.** | **Minimum requirement 2. Programme planning and M&E**  All social development programmes develop a concrete and fully costed monitoring and evaluation plan as part of the programme planning cycle based on the M&E Framework. M&E plans are updated regularly to be aligned with the implementation plans for the programmes. | **A good M&E plan.....** |
| **61.** | **Minimum requirement 3: Application of the programme M&E**  Monitoring includes the implementation of the M&E Plan   * Data are collected on indicators at output level and used * The baselines for the programme are fully established and evaluations are undertaken as planned. * The organizational setup for M&E is operational and budgets are spent as planned. | **...that is implemented** |
| **62.** | **Minimum requirement 4: Programme Evaluation**  Each social development programme is evaluated periodically. Evaluation reports are credible, unbiased, consistent and well documented in line with the requirements. | **....and a good evaluation at the end.** |

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| **7.USE OF MONITORING AND EVALUATION REPORTS** |

**7.1 KNOWLEDGE SHARING AND DISSEMINATION OF M&E FINDINGS**

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| **63.** | Knowledge management is considered the process by which the Social Development Sector generates value and improves its performance from intellectual and knowledge based assets. It assists the Department of Social Development to transform knowledge into action, innovation and change. The purposes of knowledge creation and sharing of monitoring and evaluation information in the Social Development sector are to:   * Promote a culture of learning * Supports policy-making by building a comprehensive body of evidence * Promote the application of lessons learned to improve performance | **Knowledge management is a process for**  **improving performance by learning**  **All implementing partners are responsible for sharing lessons** |
| **64.** | All implementing partners and stakeholders in the social development sector are responsible for actively and transparently contributing to knowledge and learning. The CD M&E coordinates the overall knowledge management and dissemination strategy for the Social Development Sector and promotes mechanisms to disseminate lessons learned and best practises emanating from monitoring and evaluation activities in the social development sector. Monitoring and evaluation reports are subject to a dynamic dissemination strategy tailored to the audience of that report. The Social Development Sector will be guided by the National Archives and Record Services of South Africa |  |
| **65.** | The main components of the D**issemination Strategy** in the social development sector includes:   * Transparency in the availability of information from monitoring and evaluation activities * Ease of access to relevant monitoring and evaluation information as required by decision-makers, programme managers and other users * Special initiatives to engage policy makers and programme managers in internalizing the lessons learned from monitoring and evaluation activities. * Systematic action on the follow-up of findings and recommendations that flow from the M&E programme. |  |
| **66.** | The main dissemination strategies includes:   * Preparation of reports, summaries and abstracts for specific audiences * Circulation of draft findings to all relevant stakeholders for comments * Programme performance review sessions * Seminars, workshops and conferences * M&E Forum * Departmental website * Newsletters * Electronic information systems |  |

**7.2 FOLLOW UP ON M&E RECOMMENDATIONS**

**CD M&E**

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| **67.** | The National Chief Directorate M&E are responsible to ensure that all relevant recommendations from monitoring and evaluation reports are presented at decision making forums as required.  These Forums will discuss the recommendations from M&E reports, will take decisions and gives guidance on an appropriate plan of action with specific timeframes. | **Follow up actions to M&E reports are proposed....** |
| **68.** | The M&E CD will systematically follow up on the implementation of M&E recommendations. The Chief Directorate M&E will report to the Decision Making Forums on the implementation of M&E recommendations. | **...implementation is monitored** |

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| **8.COMPLIANCE WITH M&E POLICY FRAMEWORK** | | | | | |
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| **69.** | The National and Provincial Departments will be required to comply with this Policy Framework. The Chief Directorate M&E will support National and Provincial Departments if required.  The M&E Policy Framework shall remain in effect until and unless the Management Structures decides otherwise.  To ensure that the Policy Framework remain relevant to evolving circumstances and will continue to conform to the highest international principles, norms and standards in monitoring and evaluation, it will be kept under review and updated as necessary. | |  |
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**9. POLICY REVIEW**

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| **70.** | The Policy Framework will be reviewed after every five years in line with Strategic Planning Cycle to factor the learnings and renewed mandates. Nonetheless, exceptional circumstances observed or presented by stakeholders may necessitate early review. |  |
| 1. **CONCLUSION** | | | |

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| **71.** | This Policy Framework establishes a framework for monitoring and evaluation in the social development sector. It is anticipated that the field will continue to evolve, particularly in view of the emphasis being placed on service delivery and the value for money in all sectors, as the nation progresses towards vision 2030. |  |
| **72.** | The implementation of the Policy Framework is managed by the Chief Directorate Monitoring and Evaluation of the National Department of Social Development. However, in order for implementation to be successful, the commitment and the active support of all stakeholders in the social development sector, particularly Provincial Departments of Social Development, is required | **Commitment of all stakeholders is required** |

**APPENDIX I: EVALUATION STANDARDS**

**TECHNICAL STANDARDS**

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| * Prior to undertaking an evaluation of a social development sector programme, the evaluator should develop an evaluation plan, describing the background to the evaluation, key questions/issues to be evaluated, the methodology to be applied, the costs to be incurred, the evaluation team and the evaluation schedule. * The terms of reference should be accepted by key stakeholders before commencement of an evaluation. * Evaluations should be based on high technical standards. Time-tested methods should be used to collect both quantitative and qualitative data. * Evaluation findings should be based on well-tested theories, values, assumptions and hypotheses. * The methods used for data collection and analysis should be described in detail. * When designing questionnaires, evaluators should avoid loaded, sensitive or embarrassing questions. * Evaluators should uphold the interest of beneficiaries and those of other stakeholders. * Evaluators should be gender and culture sensitive. * Facts should be crosschecked to eliminate personal biases. Evaluation information should withstand validity and credibility tests. Evaluators should not manipulate data to meet the desired outcome. * Multiple application of data collection strategies is encouraged (data triangulation) in order to achieve a high degree of validity. * Increases in accuracy or validity should be weighed against practicality and value gained in decisions to spend additional time or money on the evaluation. * Evaluators should record both the strengths and weaknesses of the programme. |

**CORE COMPENTENCY**

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| * Evaluators tasked with evaluating social development sector programmes should have the core competencies and/or the right mix of skills to carry out the assignment with maximum credibility and acceptance of findings. Where such skills are lacking, efforts should be made to make use of international and or external consultants. * To stay at the cutting edge of their skills, internal evaluators should participate in continuous career development and training. They should undertake refresher courses and participate in international and regional conferences on a regular basis. |

. **ETHICS**

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| * Evaluators must exhibit a high degree of integrity * Where an evaluator has an embedded interest in a programme or in an outcome of an evaluation, such interest should be declared up front. And if possible, the evaluator should not participate in the exercise. * Evaluators should consider the public interest in the conduct of an evaluation, even if this does not appear to coincide with the clients’ interest. |

**REPORTING**

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| * Except in cases where exempt under the Freedom of Information Act, evaluation findings should be made available to all stakeholders for comments prior to releasing the final report. * The findings, conclusions and recommendations resulting from an evaluation exercise should be presented to stakeholders in a clear and objective manner. * Findings should be communicated in a way that respects stakeholders’ dignity, even when negative. |