LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF TRANSPORT

MONITORING AND EVALUATION FRAMEWORK

2015 - 2020

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GLOSSARY OF TERMS

APP: Annual Performance Plan

CFO: Chief Financial Officer

EXCOM: Executive Management Committee

GAAL: Gateway Airport Authority Limpopo

GWM&E: Government Wide Monitoring & Evaluation

HOD: Head of Department

LDRT: Limpopo Department of Roads and Transport

M&E: Monitoring & Evaluation

MEC: Member of the Executive Council

MOV: Means of Verification

PGDS: Provincial Growth and Development Strategy

RAL: Roads Agency Limpopo

RSA: Republic of South Africa

GM: General Manager

SM: Senior Manager

SMART: Specific, Measurable, Achievable, Relevant, Time-bound

SMC: Senior Managers Committee

PCSM: Policy Coordination and Strategic Management

1. INTRODUCTION AND BACKGROUND

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 that produces credible and accurate information on an ongoing basis, which is used to improve service delivery and governance (Presidency, 2007).

The Framework provides guidance in terms of organisational arrangements that will support the implementation of M&E in the department. This means, amongst others, that the roles and responsibilities of all role players and stakeholders which form part of the M&E process should be clearly defined. M&E Framework should be read with other key documents such as the Strategic Plan, the APP and the M&E Plan.

Section 2.4 of the National Treasury Guide for the Implementation of Provincial Quarterly Performance Reports 2009 provides that systems for collecting and validating performance data are likely to be more robust when departments*:*

- *Define the quality of the data in advance.*

- *Establish clear performance measure definitions.*

- *Designate who is accountable for performance data.*

- *Managers are active in obtaining good quality performance data.*

- *Develop and implement effective controls over the collection of data.*

- *Establish and implement clear guidelines for the validation of performance data.*

According to Treasury Regulations 5.3.1, the Accounting Officer of an institution must establish procedures for quarterly reporting to the Executive Authority to facilitate effective performance monitoring, evaluation and corrective actions.

2. **PURPOSE AND OBJECTIVES OF THE POLICY**

The purpose of the policy is to provide a platform for a common understanding of key monitoring and evaluation concepts and in so doing outline an approach to monitoring and evaluation for Limpopo Department of Transport in support of the achievement of the departmental strategic goals and objectives.

The objective of the policy is:

- To promulgate the roles and responsibilities on monitoring and evaluation

- To outline processes in monitoring and evaluation

- To outline standards and methods in the management of performance information

3. **APPLICABILITY OF THE DEPARTMENTAL M&E POLICY FRAMEWORK**

This policy, except where otherwise indicated, is applicable to all employees and structures related to Department of Transport inclusive of the departmental entity: Gateway Airport Authority Limited (GAAL) and service providers.

4. **POLICY AND LEGISLATIVE FRAMEWORK**

4.1 **Legislative Framework**

- The Constitution of the Republic of South Africa, 1996 (act 108 of 1996)
- Public Finance Management Act, 1999 (ACT 1 of 1999)
- The Public Audit Act, 2004 (ACT 25 of 2004)
- National Land Transport Act 5 of 2009
- Limpopo Province Interim Passenger Transport Act of 1999
- Road Transportation Act, 1977
- Road Traffic Act, 1989 (Act No. 29 of 1989)
- Provincial Road Traffic Act, 1997 (Act No 5 of 1997)
- The National Road Traffic Act, 1996 (Act No. 93 of 1996)

4.2 Policy Framework

- Policy Framework for the Government-wide Monitoring and Evaluation System, (2007)

- Provincial Wide Monitoring and Evaluation System, (2008)

- Green Paper, Improving Government Performance: Our Approach

- NTRs of 2005 issued in terms of section 78 of the PFMA [NTR],

- Provincial Treasury Instructions (PTI) of 2009 issued in terms of section 18(2)(a) of the PFMA;

- Framework for Managing Programme Performance Information – Issued by NT (2007)

- Framework for Strategic Performance Plans (SPP) and Annual Performance Plans (APP) – Issued by NT (2009)

- Guidelines for the implementation of Provincial Quarterly Performance Reports (QPR) – Issued by NT (2009)

- National Treasury Practice Note 7 of 2008/09: The use of percentages to express performance targets in APPs, QPRs and ARs.

- Public Service Regulations 2001, as amended 2010.

- Limpopo Provincial M&E Framework

- Limpopo Employment Growth and Development Plan

5. Definitions

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".

Analysis report: A report that provides details of an analysis conducted, with findings on trends, challenges and recommendations on corrective action.

Baseline: A description of the status quo, usually statistically stated, that provides a point of comparison for future performance. It is the current level of performance which the institution aims to improve when setting performance targets for a policy, programme or other intervention.

Data collection tools: Methodologies used to identify information sources and collect information during evaluation. Examples are informal and formal surveys, direct and participatory observation, community interviews, focus groups, expert opinion, case studies, literature search, documentation review, desktop study and stakeholder analysis.

Effectiveness: The extent to which an organisation, policy, program or initiative is meeting its expected results. Related term: Cost Effectiveness – the extent to which and organization, program, policy or initiative is using the most appropriate and efficient means in achieving its expected results relative to alternative design and delivery approaches.

Efficiency: The extent to which an organisation, policy, program or initiative produces outputs in relation to resources used.

Evaluation: a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy makers. Evaluations may assess relevance, efficiency, effectiveness, impact and sustainability.

Goal: The higher level objective that the project is meant to contribute to in the long run. It must represent sufficient justification for the intervention and which explains the project - sometimes referred to as the development objective.

Impacts: the results of achieving specific outcomes, such as reducing poverty and creating jobs.

Indicator: Indicators can be seen as signs or markers that tell us how we are progressing to meet our objectives. An indicator is what you examine to see whether you are on track.

Inputs: all the resources that contribute to the production and delivery of outputs. Inputs are "what we use to do the work". They include finances, personnel, equipment and buildings.

Means of verification: The location of the source or evidence used as indicators for the project achievement

Monitoring: Regular, ongoing, systematic collection and analysis of information to track progress of project implementation and outcomes. Monitoring allows for timely action and correction of any deficiencies.

Monitoring report: A report compiled during the monitoring of a project, program, etc. that indicates the background to the monitoring, trends observed in the monitoring, challenges and recommendations for corrective action.

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".

Performance indicator: A pre-determined signal that a specific point in a process has been reached or result achieved. The nature of the signal will depend on what is being tracked and needs to be very carefully chosen.

In management terms, an indicator is a variable that is used to assess the achievement of results in relation to the stated goals/objectives.

Performance monitoring: An ongoing process based on information collected to measure and evaluate outcomes, outputs, and activities in terms of (1) actual performance against plans (i.e. predetermined goals, targets, budgets, standards, etc.) (2) current performance against past performance (i.e. trend analysis), and (3) performance against internal and/or external benchmarks.

Policy: A policy is a written statement that communicates management's intent, objectives, requirements, responsibilities, and/or standards. It is also a deliberate plan of action to guide decisions and achieve rational outcome(s).

Policies, strategies, programmes and projects: Policies are statements of what government seeks to achieve through its work and why. **Strategies** are the sequentially structured descriptions of how these policies will be enacted.

Programmes (outside the budgeting context) are high-level, big-picture plans showing how strategies will be implemented.

Projects are specific conceptually-linked sets of activities intended to achieve particular results that will lead to the achievement of programme goals.

Procedure: A procedure is a fixed, step-by-step sequence of activities or course of action (with definite start and end points) that must be followed in the same order to correctly perform a task.

Results Chain: The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts and feedback.

Statistics: Numerical data or figures giving information about any subject.

Survey: A method of collecting quantitative information about items in a population.

Target: A measurable performance or success level that an organisation, program or initiative plans to achieve within a specified time period. Targets can be either quantitative or qualitative.

Validity: The extent to which something is reliable and actually measures up to or makes a correct claim. This includes data collection strategies and instruments

6. THE PRINCIPLES OF MONITORING AND EVALUATION POLICY FRAMEWORK

The following principles, as guided by the GWM&E Policy Framework, should underpin monitoring and evaluation in Department of Roads and Transport. M&E should (Presidency, 2007):

a) **Contribute to improved governance** – through transparency, accountability, participation and inclusion.

b) **Be rights based** - A rights based culture is promoted and entrenched by its inclusion in the value base for all M&E processes.

c) **Be development-oriented** – through pro-poor orientation, service delivery and performance, learning, human resource management and impact awareness.

d) **Be undertaken ethically and with integrity** – through confidentiality, respect, representation of competence and fair reporting

e) **Be utilization oriented** – by defining and meeting expectations, and supporting utilization.

f) **Be methodologically sound** – consistent indicators, data/evidence-based, appropriateness and triangulated.

g) **Be operationally effective** – planned, scoped, managed, cost-effective and systematic.

7. **Purpose and benefits of Monitoring and Evaluation in the department**

7.1 **The purpose of monitoring and evaluation is to assess:**

- Common understanding of project objectives, strategies and timelines

- Ongoing project activities

- Whether or not plans are being carried out as intended

- Extent to which the objectives have been met

- Whether these objectives are contributing towards achieving the stated goals

- Impact of activities on individuals, organizations and communities

- Efficiency of the intervention

- Whether or not the intervention is addressing the needs of stakeholders

7.2   Benefits of monitoring and evaluation

- The benefits of M &E are to improve or inform:
- Planning and implementation
- Decision making
- Learning from experience
- A learning culture in Limpopo Department of Transport
- Accountability and transparency
- Capacity Building
- Service delivery
- Compliance with statutory and other

8.   ORGANISATIONAL LOCATION, STRUCTURE AND BUDGET OF THE   M&E UNIT

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                    │  Head of the Department  │
                    └─────────────────────────┘
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                              ┌──────────────────┐
                              │ General Manager  │
                              │ Corporate Services│
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              │              Senior Manager                  │
              │ Strategic Planning and Performance Management │
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│ Strategic         │ │ Evaluation        │ │                  │
│ Management        │ │                   │ │                  │
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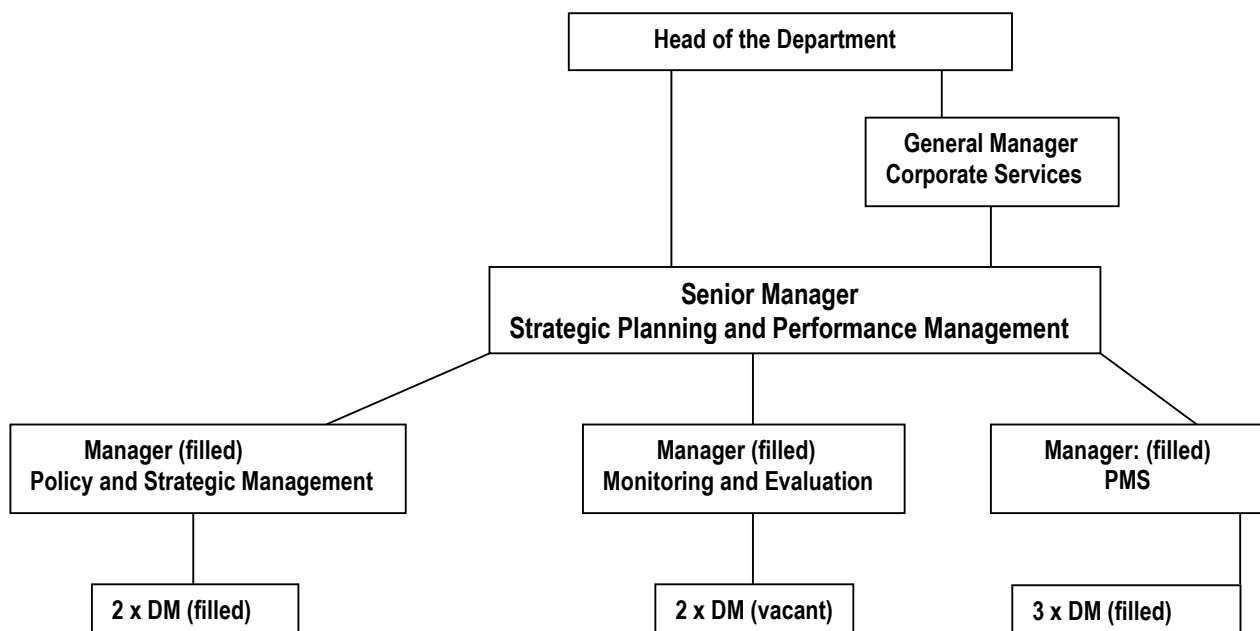
The M&E unit falls under the Senior Manager for Strategic Planning and Performance Management. It comprises one manager and two deputy manager positions. Two M & E vacant posts are budgeted for and will be filled. For the M&E Framework to be successful the Department needs to consider the appointment of people with competencies which includes the following: Data capturers and analysts, report writers and researchers. Presently, budget for M & E is under Policy coordination and Strategic Management Unit.

9. Institutional arrangements and structures

The Limpopo department of Transport Monitoring and Evaluation Framework will utilise the following existing structures with a view to strengthen the monitoring and evaluation processes

9.1 Executive Management Committee (EXCOM)

The role of EXCOM is to provide strategic leadership and decision making regarding progress on performance of programmes / branches. The Executive Management Committee will monitor the organisational performance through analysis of monthly and quarterly reports; make decisions based on the performance analysis by recommending corrective actions.

9.2 Senior Management Committees

Monitoring and evaluation is the responsibility of each programme / branch within the department of Transport, as they have to provide feedback and early indications of progress or lack thereof in the achievement of intended results and the attainment of goals and objectives. Inherent in this task is the responsibility of the programmes/branches to compile progress reports in line with departmental Annual Performance Plans. The monitoring of branch performance will be conducted on a quarterly basis during the Monitoring and evaluation sessions.

9.3   Risk Management Committee

The Committee will monitor and consider the adequacy and overall effectiveness of Risk Management in the organisation to ensure the achievement of organisational goals

9.4   Budget Committee

The role of the budget Committee is to monitor implementation of the budget by monitoring expenditure trends. This monitoring should be done in line with planned outputs as per the Annual Performance Plans. The Committee will also consider budget pressures across the organisation and recommend solutions thereto.

9.5   MEC's briefing meeting

Heads of Branches will keep the MEC informed on progress regarding departmental performance on a quarterly basis. High level strategic outputs will be considered, challenges and trends in the monitoring process indicated and recommendations on corrective steps will be made to the MEC. The MEC will provide guidance on further interventions necessary to improve organisational performance

10   ROLES AND RESONSIBILITIES

10.1 Executive Authority

The Executive Authority (MEC) is accountable to the provincial legislature which has to be provided with full and regular reports regarding matters under the organization's control.   The Executive Authority needs to ensure that the organization has the appropriate performance information systems in place in order to fulfill his accountability reporting responsibility. He should also oversee such systems to ensure that they are functioning optimally and comply with the

Framework on Managing Programme Performance Information and other related standards and guidelines.

The Executive Authority's role is prescribed by section 133 of the Constitution and section 5.1 of the National Treasury Framework for Managing Programme Performance Information.

10.2 Accounting Officer

The Accounting Officer (Head of Department) is accountable for establishing and maintaining the systems to manage performance information. The accounting officer must ensure that performance information systems are integrated within existing management processes and systems. The accounting officer is responsible for ensuring that the organization has:

a) Documentation addressing the following:

- Integration of performance information structures and systems within existing management processes and systems.
- Definitions and technical standards of all the information collected by the institution.
- Processes for identifying, collecting, collating, verifying and storing information.
- Use of information in managing for results.
- Publication of performance information.

b) Consultation processes that ensure the information needs of different   users are taken into consideration when specifying the range of information to be collected.

c) Processes to ensure the information is appropriately used for planning, budgeting and management within the institution, including:

- Processes to set performance standards and targets prior to the start of each service delivery period.
- Processes to review performance and take management action to ensure service   delivery stays on track.

- Processes to evaluate performance at the end of a service delivery period.

d) Processes to ensure that responsibility for managing performance information is included in the individual performance agreements of line managers and other officials

e) An identified set of performance indicators for reporting for oversight purposes.

f) Appropriate capacity to manage performance information. This capacity should be aligned to the planning and financial management functions.

g) This responsibility needs to focus on the overall design and management of indicators, data collection, collation and verification processes within the organisation.

10.3 Heads of Branches

Heads of Branches are responsible for overseeing performance in their respective branches. This will include overseeing that the systems and processes are established and maintained in the collection of performance information as well as signing off on progress reports that are sent to Policy Coordination and Strategic Management Unit, to confirm accuracy. Their performance agreements must reflect this responsibility in line with the Framework for Managing Programme Performance Information.

10.4 Line Managers and other officials

The respective line managers within branches are accountable for establishing and maintaining the performance information systems and processes. Their performance agreements must reflect this responsibility in line with the Framework for Managing Programme Performance Information.

Other officials are responsible for capturing, collating and checking performancedatarelated to their activities. The integrity of the institution's overall performance information.

Performance depends on how conscientiously these officials fulfill these responsibilities. Consequently, their performance agreements and assessments should deal explicitly with the quality of this aspect of their work.
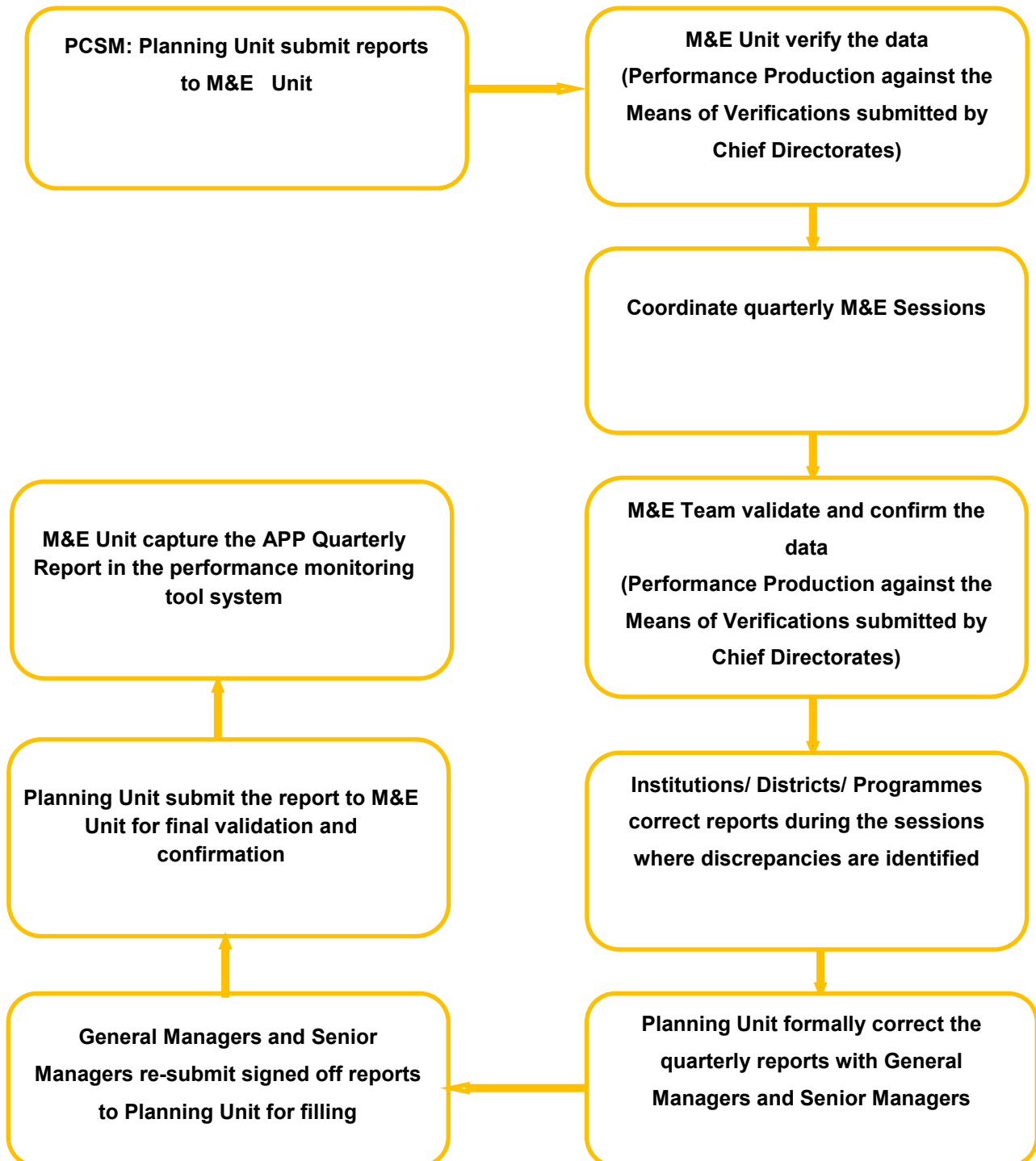
10.5 M & E Units

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

11 Monitoring and Evaluation Process

11.1 Quarterly Monitoring and evaluation session

Validation and confirm Quarterly Performance Information

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┌─────────────────────────┐        ┌─────────────────────────────┐
│ PCSM: Planning Unit      │        │ M&E Unit verify the data     │
│ submit reports           │───────▶│ (Performance Production       │
│ to M&E   Unit            │        │ against the Means of          │
│                          │        │ Verifications submitted by    │
│                          │        │ Chief Directorates)           │
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                                   ┌─────────────────────────────┐
                                   │ Coordinate quarterly M&E     │
                                   │ Sessions                     │
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│ M&E Unit capture the APP │        │ M&E Team validate and        │
│ Quarterly Report in the  │        │ confirm the data             │
│ performance monitoring   │        │ (Performance Production       │
│ tool system              │        │ against the Means of          │
│                          │        │ Verifications submitted by    │
│                          │        │ Chief Directorates)           │
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│ Planning Unit submit the │        │ Institutions/ Districts/     │
│ report to M&E Unit for   │        │ Programmes correct reports   │
│ final validation and     │        │ during the sessions where    │
│ confirmation             │        │ discrepancies are identified │
└─────────────────────────┘        └─────────────────────────────┘
            ▲                                    │
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┌─────────────────────────┐        ┌─────────────────────────────┐
│ General Managers and     │        │ Planning Unit formally       │
│ Senior Managers re-      │◀───────│ correct the quarterly        │
│ submit signed off reports│        │ reports with General         │
│ to Planning Unit for     │        │ Managers and Senior Managers │
│ filling                  │        │                              │
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11.2 Data Collection and Verification

The process of monitoring and evaluation also involves the process of collecting information as evidence of performance. However, for this process to be successful, the planning process should also be conducted efficiently. This involves the setting of targets or indicators in line with the SMART principle. For example, targets or indicators that are not measurable would make it difficult for one to produce a means of verification.

The process of monitoring and evaluation also involves the process of collecting information as evidence of performance. However, for this process to be successful, the planning process should also be conducted efficiently. This involves the setting of targets or indicators in line with the SMART principle. For example, targets or indicators that are not measurable would make it difficult for one to produce a means of verification.

The table below should be used as a Performance Information Data Validation template

Performance Indicator	2013/14 Annual Target	Quarter 1 Target & Actual	Quarter 2 Target & Actual	Quarter 3 Target & Actual	Quarter 4 Target & Actual	Difference

The table below should be used as a MoV plan template

Strategic Pillar	National Outcome	Output	Institutional Indicator	Baseline	Annual Target	Means of Verification	Data Collection Responsibility	Frequency of data collection	Analysis Responsibility	Frequency of reporting
Strategic Objective:										

MOVs can either be documents that are used in the daily running of an intervention (project documents), or specific tools designed to monitor or evaluate the intervention (data gathering tools).

PROJECT DOCUMENTS	DATA GATHERING TOOLS
▪ attendance registers ▪ minutes of meetings ▪ financial reports ▪ monitoring reports ▪ Analysis/statistics reports ▪ Performance progress reports ▪ Policy Implementation plans ▪ Research reports	▪ Focus groups ▪ Face to face interviews (in-depth, un-structured, structured) ▪ Self-completion surveys ▪ Workshops ▪ Observation ▪ Monitoring tools (reports, work plans, checklists, inspections etc.) ▪ Meetings ▪ Documentation review ▪ Desktop study ▪ Stakeholder analysis

11.3 Data analysis

Performance data will be analysed by SOPD directorate as follows:

- Check alignment of targets against the APP

- Analyse performance reports by comparing the actual achievements with the planned outputs

- Compare gaps with the planned corrective measures/actions

- Analyse and verify credibility and validity of means of verification for achieved targets through inspections, document analysis, etc.

- Feedback provided to branches for correction/clarity

- Compile departmental quarterly and annual performance analysis for presentation at EXCOM and Senior Managers Committee (SMC) meeting

11.4 External and Internal reporting

Annual and Quarterly Performance reports

- The MEC uses Monitoring and Evaluation findings in the political oversight of Departmental performance and for ensuring that desired outcomes and

impacts are achieved. Also, detailed regular reports on the Department's performance are provided to the bodies to which the MEC is accountable.

- The MEC sign off Five Year Strategic Plan, Annual Performance Plan and the Annual Report

- The HoD verifies and signs off all Departmental performance reports for submission to Provincial Treasury, Office of the Premier, Provincial Audit Committee and Provincial Legislature.

- General Managers present their programme performance reports quarterly to the HoD on a date scheduled by the HoD.

- General Managers verify, sign off and submit Annual Performance Plans, Annual Reports, all quarterly programme performance reports and operational plans to the HoD on scheduled reporting dates.

- Senior Managers, Managers and other officials establish and maintain Monitoring and Evaluation systems especially collecting, capturing, verifying and using data and information to submit to General Managers.

- Baseline and Cluster reports are informed by the EXCO Lekgotla decisions in line with the LEGDP and the provincial priorities, quarterly the department is expected to generate progress reports to the office of the premier.

12. DEPARTMENT- SPECIFIC M&E ISSUES

Department specific M&E issues include reporting responsibilities to national government; and the public entities reporting to the department.
The department is expected to report to the National Department of Transport on the following:
- kilometer of public transport routes subsidised and monitored
- schools involved in road safety education programme and children trained
- reduction of fatalities within the province

The department therefore needs to collect, verify, and report on these indicators.

There is one public entity reporting to the department i.e. GAAL, which is responsible for the management of the Polokwane International Airport. This M&E Framework applies to this entity, who implements work on behalf of the department, who must account for the funds allocated to them.

13.   CURRENT INFORMATION SYSTEM IN THE DEPARTMENT

Current Systems in place	Purpose; Beneficiaries and Location	Proposed Systems to be established	Purpose; Beneficiaries and Location
National Land Transport Information System (NLTIS)	Management of all operating license transactions Beneficiaries are the Public Transport Operators / Industry NDOT is the custodian of the system The system is available at provincial, district and institutional level	Electronic bus monitoring system.	To monitor bus operations of subsidised bus operators (depend on availability of funds) Beneficiaries are the bus operators
Persal system	It is used to capture and store personal data of employees and also to process payments to employees		

	The beneficiaries are the employees in Transport		
BAS	The system is located at Head office, District offices, registration authorities, and traffic institution; Used to keep departmental Budget, processing of payments, capturing receipts, departmental accounts and reporting		
FINEST	The system is located at Head Office and Districts; used to keep departmental Budget and commitments		
Org Plus	The purpose of the system is to design organisational structures. The beneficiaries of the system are work study officers. The system is located at head office		
Equate	The purpose of the system is to evaluate and grade jobs. The beneficiaries of the system are job analysts and work study officers.		

	The system is located at head office		
		Persal system	To be able to have access to the departmental establishment to check vacant and filled positions. The beneficiaries of the system will be work study officers. The system is to be located at head office
		Vision	The system used to map out business processes. The beneficiaries will be work study officers. The system will be located at head office
		Roads Management System	To conduct roads condition assessment (including bridge management and pavement management
Computerised Learner's License Test System	To minimize fraud and corruption in driving license environment. The system will promote quality driving skills in the province.		

eNaTIS (National Traffic Information System)	Stores records of all registered vehicles, learners and driving licenses, Professional Driving Licenses and persons and institutions as legislated in the National Road Traffic Act. Beneficiaries is the community and the government System is located at the Department of Roads and Transport at head office; Registration and Permits Offices		
Automated Number Plate Recognition (ANPR)	The system is able to pick up outstanding traffic summonses and warrants by screening number plates in motion, capture number plates or the identity document of the driver and the driver has the opportunity to pay the outstanding fines		
Moving Violation	Record offences committed by motorists		

Recorder **(MVR)**	without stopping them. It is able to record the conversation between the officer and the motorists, so as to dissuade officers to evidence		

14. PLANNED FUTURE INFORMATION SYSTEMS

The purpose of the M&E system is to provide credible information that can be used to improve decision making and service delivery. A future programme and project management tool for all programmes within the Department is currently being planned. The M&E unit is considering whether their data and user requirements could be accommodated in this planned system, instead of procuring a separate system. The system will:

- Provide one common management tool for all programes within the Department;
- Be web enabled and live, with constant updates.
- Hold information on all infrastructure projects related to the Departments, including additions, new facilities, maintenance, monitoring and evaluation, etc.
- Assist with monitoring and management of infrastructure through tracking physical and financial project and programme information on time, cost and quality.
- Link each project to a function (e.g. road) and facility (asset).
- Provide generic and specific reports that are accurate, reliable up to date, easy, accessible at any time and versatile (in different formats and be able to generate reports).
- Be able to generate reports at facility level, at project level and at programme / district level per professional service provider, implementing agent.

- Link to a common data base e.g. BAS/ Vulindlela, which is hosted by the National Treasury.

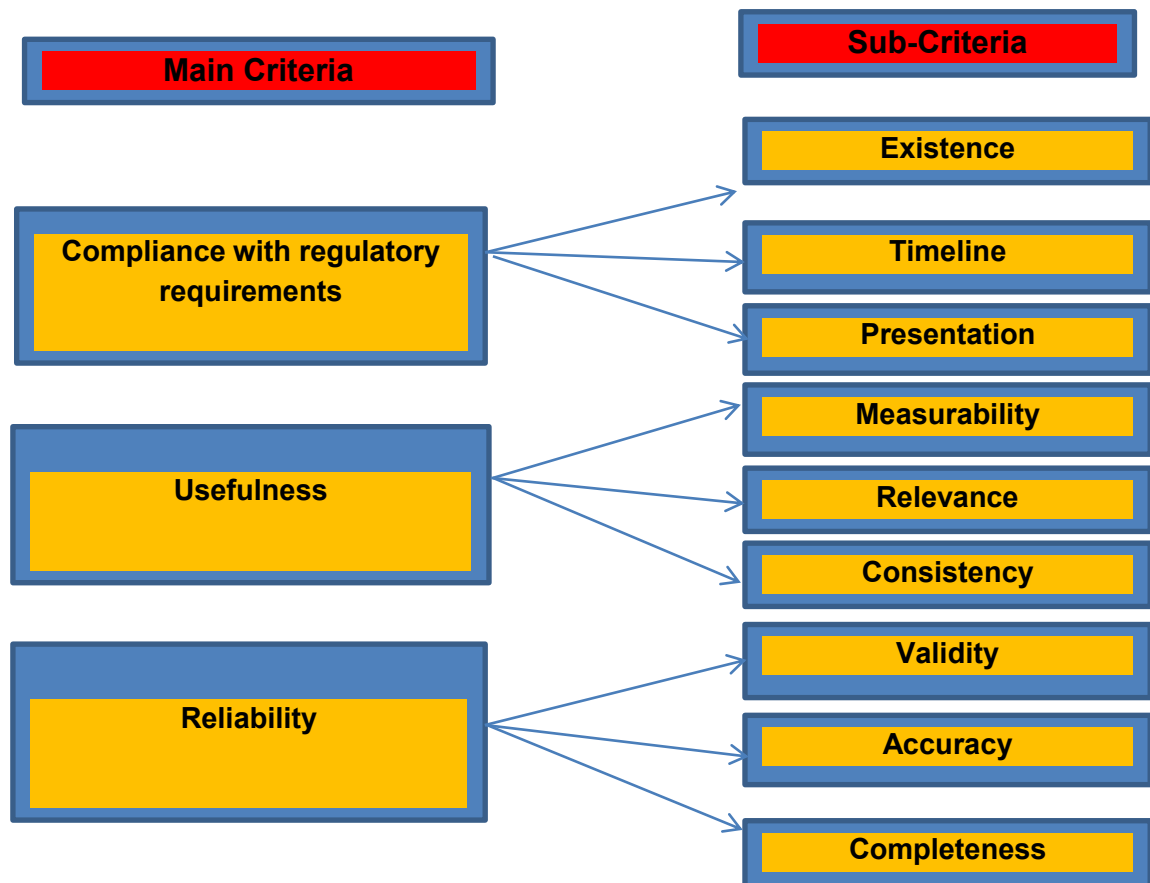## 15. PREPARING FOR AUDITS OF PRE-DETERMINED OBJECTIVES

15.1 Successful audit of performance information include:

- Programme Manager is accountable for establishing and maintaining the performance information in the programme to ensure that credible performance information is produced;

- Monitoring and evaluation tool is to be used by   Monitoring and evaluation practitioners   as and when she/he visits the programme / project site to get information based on what is in the performance report;

- Site verification report is compiled by the M & E practitioners on a monthly /quarterly basis. The M &E practitioner, will schedule dates of site verification and meet the project manager on site. Monthly Site verification report will be produced and submitted;

- Monitoring and evaluation report is compiled by M & E practitioners, analyzing the performance of the department. Performance report will be received from planning Unit and actual performance will be analyzed against the set targets. M &E report will be produced and submitted

15.2 Audit Criteria

The criteria used by the AG to assess the usefulness of the planned and reported performance include the compliance with regularity requirements, usefulness and reliability.

These criteria can be explained as follows:

Main Criteria	Sub-Criteria
	Existence
Compliance with regulatory requirements	Timeline
	Presentation
	Measurability
Usefulness	Relevance
	Consistency
	Validity
Reliability	Accuracy
	Completeness

Usefulness of information: Audit findings focus on the consistency, relevance, measurability and presentation of reported performance information.

Measurability: Objectives must be measurable by means of indicators and targets. Indicators should be well-defined and verifiable while targets should adhere to the SMART criteria.

Relevance: Clear and logical links must exist between the objectives, outcomes, outputs, indicators and performance targets.

Consistency: Objectives, indicators and targets must be consistent between planning and reporting documents.

Reliability of information: Audit findings focus on the validity, accuracy and completeness of reported performance information.

Validity: Actual reported performance has occurred and pertains to the entity.

Accuracy: Amounts, numbers and other data relating to reported actual performance have been recorded and reported appropriately.

Completeness: All actual results and events that should have been recorded have been included in the annual performance report.

Compliance with laws and regulations: Report non-compliance matters in relation to the performance management and reporting processes.

Existence: Objectives, indicators and targets must be predetermined and performance information must be reported against them.

Timeliness: performance information must be reported within two months after year-end.

Presentation: performance information must be reported using the National Treasury guidelines. Actual performance information in tables and narrative in annual report must be consistent. Material differences between actual and planned performance must be explained.

To express an opinion or arrive at a conclusion, evidence must be provided to the auditor substantiating reported performance. Therefore the performance information must meet the required standards for auditing purposes. This will ensure an objective opinion by the auditor on whether the evidence provided is reliable and useful.

The audit approach follows the following 5 steps:

1.   Understand and test the design and implementation of the performance management systems, processes, and relevant controls Version 2 31 March 2012 31

2.   Test the measurability, relevance, presentation & consistency of planned and reported performance information.

3.   Conclude on the usefulness of the report on predetermined objectives.

4. Test the reported performance information to relevant source documentation to verify the validity, accuracy & completeness of reported performance information.

5. Conclude on the reliability of the reported performance for selected programmes or objectives.

16.   M&E CAPACITY BUILDING PLAN

The Policy Framework GWMES states that M&E is by nature multi-disciplinary. To ensure that M&E Managers and Practitioners adhere to the principles of methodological soundness, data and information management skills are required. To ensure that monitoring and evaluation is participative, inclusive and development oriented, communication and people skills are essential. Generic competences required of M&E Practitioners and Managers include:

- Strong data collection skills
- Statistical and econometric analysis
- Understanding of public sector policies and implementation modalities
- Effective communication and report writing skills and verbal communication skills to transfer and translate data into reports
- Facilitation skills
- Managerial skills knowledge management skills

Generic skills required:

- Monitoring and Evaluation
- Financial Management
- Research Methodology
- Performance Management
- Outcome Approach
- Strategic Risk Management

Department's capacity building approach to capacitate M&E users includes:

Formal and informal training

Expert workshops

Introduction to Monitoring and Evaluation course offered by PALAMA

M & E networks and knowledge sharing forums:

- Provincial Monitoring and Evaluation Forum

- SAMEA

M&E skills development requirements have already been submitted to HR and are included in the skills development plans of officials. Skills requirements for future employees for vacant positions have been identified in the skills audit plan.

17. NEXT STEP IN DEPARTMENTALISING EFFECTIVE M&E IN THE DEPARTMENT

- Establish electronic M&E and Reporting system
- Fill in M &E vacant posts

18. REVIEW AND CONTINOUS IMPROVEMENT OF THE M&E FRAMEWORK

This policy will be reviewed by the Department of Transport annually or when necessary.   The amendments resulting from the review will be processed in line with departmental policy development and review process. This policy will remain in force until and unless it has been withdrawn and amended by Executive Authority.

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