# MONITORING AND EVALUATION FRAMEWORK

# VERSION 1.0

Approved by the Executive Committee on date: 16 May 2022


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Signed by the CEO:


Date: _____

**TABLE OF CONTENTS**

**LIST OF FIGURES**

## ACRONYMS

| | |
|---|---|
| **AG** | Auditor General |
| **AOP** | Annual Operational Plan |
| **APP** | Annual Performance Plan |
| **CEO** | Chief Executive Officer |
| **DPME** | Department of Planning, Monitoring and Evaluation |
| **EXCO** | Executive Committee |
| **GDHS** | Gauteng Department of Human Settlement |
| **GPF** | Gauteng Partnership Fund |
| **HOD** | Head of Department (GDHS) |
| **MEC** | Member of the Executive Council (GDHS) |
| **MTSF** | Medium Term Strategic Framework |
| **M&E** | Monitoring and Evaluation |
| **NDP** | National Development Plan |
| **NEPF** | National Evaluation Policy Framework |
| **PFMA** | Public Finance Management Act |
| **SOPs** | Standard Operational Procedures |

# GLOSSARY

**Accountability:** The obligations of the business unit to act according to clearly defined responsibilities, roles and performance expectations

**Activity:** A GPF process that supports specific programme outputs

**Assumptions:** Hypotheses about factors or risks that could affect the progress or success of a development intervention and that are largely outside of the control of the activity implementation team.

**Baseline:** An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

**Evaluation:** The systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organisation to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability, and to recommend ways forward

**Goal:** A Management by Objective term referring to the higher-order objective to which an intervention is intended to contribute. Analogous to the Results-based Management term 'impact'.

**Impacts:** Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. Impact may also be used as being analogous to 'goal'.

**Indicator:** Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development indicator.

**Intervention:** A project, programme or policy aimed at achieving GDHS's stated goals

**Log frame:** Management tool used to improve the design of interventions, most often at the project/activity level. It involves identifying strategic elements (i.e., inputs, outputs, purpose and goal statements), their causal relationships and the underlying assumptions for these relationships to hold, indicators of progress, and the means of verification/methods of inquiry to gather this information on success and/or failure. It thus facilitates planning, execution and evaluation of a development intervention.

**M&E Framework:** Documentation prepared at entry to enable performance assessment of an intervention

**Means of Verification:** A defined tool or protocol for the capture of M&E data from identified subjects of inquiry.

**Monitoring:** A continuing function that uses systematic collection and analysis of data on specified indicators to provide GDHS management and the main stakeholders, of an ongoing development intervention, with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

**Objective:** Intended results or benefits of an intervention

**Outcome:** The medium-term results for specific beneficiaries that are the consequence of achieving specific outputs

**Outputs:** The products, goods and services delivered by a development intervention to direct beneficiaries.

**POE:** Portfolio of Evidence

**SMART:** Specific, Measurable, Achievable, Realistic and Time bound

**Performance:** The degree to which an intervention achieves results in accordance with stated objectives or plans.

**Purpose:** The publicly stated objectives to be achieved within the life of the development activity.

**Responsible:** For M&E purposes, the persons/roles required to capture, analyse and report data.

## 1. INTRODUCTION

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

There is a growing demand for institutions to utilise evidence-based information to inform decision making. To assist the GPF to achieve this objective, the M&E Unit has developed the M&E framework and the Impact Reporting Framework. These frameworks are based on the logical framework approach to assist the organisation to properly design its programmes and projects and to evaluate their impact on intended beneficiaries.

The M&E framework outlines the various aspects of the M&E system of the organization. When managed effectively, the components of the GPF M&E system will assist the Organization to achieve its strategic intent and comply with the information standards set by the AG.

It is important to note that M&E is a shared responsibility and not an isolated function that operates independent to other business functions. Therefore M&E constitutes part of the organisational business processes (which must be incorporated onto the current SOPs), and this will enable effective continuous improvement in the organisation. For the GPF to become a learning organisation it must incorporate lessons learned from its programmes. These lessons must then feed back into strategic decision making.

### 1.1 Purpose of the M&E framework

The purpose of the M&E framework is to provide guiding principles and procedures to the GPF in order to guide their practice and conduct in carrying out its constitutional mandate relating to performance M&E and shall apply to all programmes in the GPF.

The framework also provides the following:

- Methodological processes and procedures to monitor and evaluate the performance of GPF;

- Approach to linking planning and reporting to M&E;

- A system to document, provide feedback on and disseminate results and lessons learnt.

- To support the implementation of an effective M&E system: roles and responsibilities of the different stakeholders in the context of performance M&E

- Ensure achievement of Impact in the delivery of programmes as informed by the GPF's 5-year outcome-based strategy.

## 1.2 Goals and objectives of the M&E framework

The goal of the M&E Framework is centred at creating a culture of evidence-based decision making by collecting high quality data. The programme manager's role in collecting data is to ensure that the data captured is thoroughly examined and is performed within a specific time framework as each quality data is dependently executed within its programme.

The M&E system is essential in Governance structures as it enable the goals of the organisation to be executed efficiently. The M&E system aims at co-creating high quality data and providing information that is relevant and factual to ensure that informed strategic decision making is executed.

The M&E framework captures imperative and relevant information of data sources, data collection methods, data flows, information products and a variety of information. The objectives of this framework are as follows:

- To enable the GPF to monitor and evaluate its performance and make decisions that will keep the implementation of its each priorities on track. The framework derives its value from the constant flow of relevant information to decision makers on whether modifications to strategy, policies and spending programmes are necessary. This framework functions well when it supplies decision makers with a flow of reliable information and analysis about what works and what does not, as a basis for remedial or supportive action.

- To enable the GPF to keep their stakeholders informed of progress and achievements in the implementation of their programmes; and to promote buy-in and public participation in the programmes and agenda of government. Thus, the framework seeks to keep other stakeholders (i.e. GDHS, the legislature, municipalities, the public, other government departments and entities, civil society organisations and development and private partners) informed about the progress being made in implementing the strategic vision and goals of the GPF; therefore, enabling them to offer informed advice for decision makers and, where required, to modify their own policies and programmes. And most importantly solicit strategic partners for senior funding. In this regards, timely communication and dissemination of relevant information to stakeholders is critical

## 1.3 Understanding M&E

M&E seeks to establish a link between the institution's interventions (programmes, projects and policies) and the desired outcomes and impacts emanating from such interventions. This link assists to focus and direct the Organisation's activities, deliverables as well as resource allocations. When this link is sufficiently established, then an evaluation study is feasible to determine the extent to which an intervention has been successful in achieving its desired results.

### 1.4 Principles

M&E at the GPF must be founded on the following principles in Table 1

**Table 1: M&E Principles**

| | |
|---|---|
| Responsibility | Programme managers and individuals must be held responsible and accountable for organizational performance. |
| Evidence — based | Findings are interpreted in the systematic evidence and analysis. |
| Transparency | All findings and processes are available for public scrutiny & viewing, unless there are pressing reasons to privatise findings. |
| Accountability | Continuous reporting to relevant managerial or administrative bodies and public entities. |
| Participation | Participation of collective officials and various stakeholders. |

| Learning | Learning is initially rooted in best practice, standard information and ongoing improvement. |
|---|---|
| Fair Reporting | Reporting offers a fair and balanced account of the findings. |

## 1.5 Prerequisites for an effective M&E system

To ensure that M&E is effective the following should be in place:

- Capacity: The M&E unit is currently capacitated with two qualified staff. As the organisation strengthen the planning, monitoring and evaluation and Impact Reporting there will be a need to capacitate the unit. In order to capacitate the unit in the interim, the Business Units will be required to nominate M&E Champions to ensure integration and alignment.

- Development of SMART Indicators: The organisation has SMART indicators, well defined goals, objectives, targets and technical indicators descriptions.

- Digital System: There are proper digital data collection tools, processes, systems and a functional feedback mechanism to ensure that areas of improvement filter back into decision-making; and

- An understanding of the linkages between the M&E function and the management function.

## 2. METHODOLOGY

### 2.1 Monitoring and Evaluation

The GPF will utilize the Impact Reporting Framework as a management tool to monitor and evaluate the implementation of the Five- Year Strategic Plan to determine whether it is achieving its intended impact through the strategic outcomes. While the M&E framework will be a tool to ensure that the annual performance planned targets are achieved through the tracking of the AOP and APP which will be reported monthly and quarterly. The GPF will measure its results through a reflection undertaken on the extent to which: -

2.1.1 Impact Statement:

- Assessment of the extent to which the Impact statement is responding to the mandate of the Organisation.

- The extent to which challenges, and opportunities identified in the situational analysis are being addressed.

The Impact Reporting Framework is concerned with the monitoring and reporting on strategic outcomes and the different forms of evaluation that assist in determining whether the entity is progressing towards the achievement of the desired impact of its strategy implementation. The Impact Reporting Framework is attached as Annexure A.

2.1.2 Outcomes:

- Outcomes are the medium-term results for specific beneficiaries which are the consequence of achieving specific outputs. Outcomes are "What we wish to achieve".

## 2.2 Relationship between strategic planning, Annual Performance Plan, Annual Operational Plan, M&E and reporting

The Annual Performance Plan (APP) covers the upcoming financial year and MTEF period and sets out performance indicators and targets for budget programmes to facilitate the organisation's realisation of its goals and objectives set out in the Strategic Plan. The Plan should also include a quarterly breakdown of performance targets for the upcoming financial year. The APP should be linked to the Strategic Plan, the budget and the MTEF, and should be informed by any targets by governments long term plans, MTSF, Government Implementation Action, provincial growth and implementation strategies and local governments IDP's, performance between the GDHS (as Founder), and other relevant long term government plans. In-year monitoring of the APP is conducted through monthly reports against the AOP and the quarterly performance reports. End year reporting is made in the programme performance of the annual report.

The GPF's reviews its five-year Strategic Plan annually. The M&E framework will assist the organisation to monitor and evaluate the implementation of the Revised Strategic Plan, Annual Performance Plan and the Annual Operational Plan. Reports with findings will be compiled and analysed to provide feedback on the successful implementation of the Strategic Plan. The process becomes a cycle. It should be noted that planning, monitoring, and evaluation also complement each other. The figure below depicts the relationship between strategic planning, monitoring, evaluation, and reporting:

Figure1: relationship between strategic planning, monitoring, evaluation, and reporting

| PLANNING AND BUDGETING TIMELINES (BASE FINANCIAL YEAR, 2020/21) | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Financial Years** | 2019/20 | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2024/25 | 2025/26 | 2026/27 | 2027/28 | 2028/29 | 2029/30 |
| **National Medium Term Planning** | Medium Term Strategic Framework (2019-2024) | | | | | Medium Term Strategic Framework (2024-2029) | | | | | |
| | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework | Budget Prioritisation Framework |
| | Sector-specific Plans and Standardised Indicators | | | | | | | | | | |
| **Gauteng Provincial Planning and Budgeting** | GAUTENG TEN PILLARS OF TRANSFORMATION, MODERNISATION AND REINDUSTRIALISATION \| GAUTENG SPATIAL DEVELOPMENT FRAMEWORK | | | | | | | | | | |
| | GGT2030 PLAN OF ACTION | | | | | | | | | | |
| | | Medium Term Expenditure Framework | | | Medium Term Expenditure Framework | | | Medium Term Expenditure Framework | | | |
| **Strategic Plans** | Five Year Strategic Plan (2020-2025) | | | | | | Five Year Strategic Plan (2026-2030) | | | | |
| **Annual Performance Plans** | APP | APP | APP | APP | APP | APP | APP | APP | APP | APP | APP |
| **Annual Operational Plans** | AOPs | AOPs | AOPs | AOPs | AOPs | AOPs | AOPs | AOPs | AOPs | AOPs | AOPs |
| **Annual allocated budgets and MTEF projections** | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget | Allocated Budget |

Source: Adapted from Revised Framework for Strategic Plans and Annual Performance Plans, 2020

## 2.3 Logical Framework
In creating the log framework, the M&E unit intends to discuss the following with the various

**Business Units:**

- Determine what the project should achieve, from the level of an overall strategic goal or impact down to specific activities.

- Discuss the performance indicators that will be used to monitor progress and overall achievement.

- Decide on how these indicators will be monitored or where the data can be found (means of verification); and

- Ascertain the assumptions behind the logic of how activities will eventually contribute to the goal, plus associated risks for the project if assumptions turn out to be incorrect.

The figure below depicts a theory of change. A theory of change should describe how a project is understood or intended to contribute to its specified results by outlining the sequence of inputs and the activities, the outputs anticipated from the input and activities, and the resulting outcomes and impacts expected.

Figure 2: GPF Theory of Change
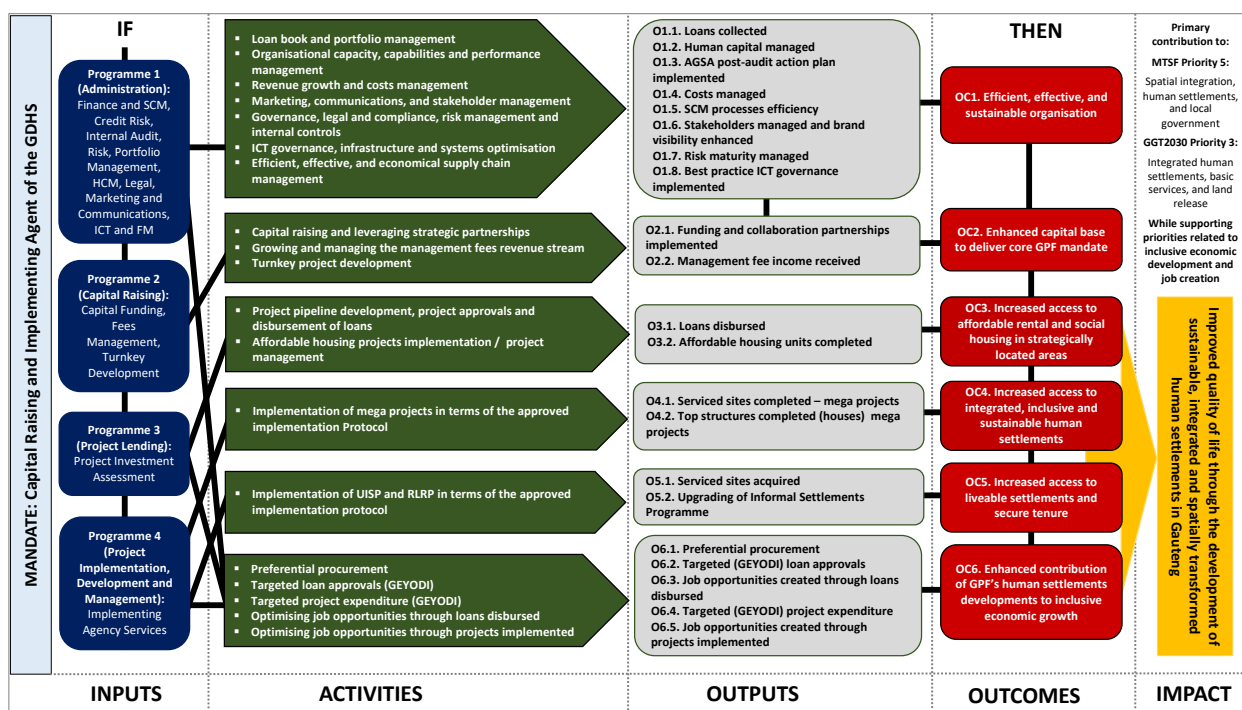


Source: Adapted from Dr Thomas Winderl's Paper on Theory of change

The importance of articulating a project's Theory of Change is that it helps to identify the elements critical to success, build a common understanding of the program and expectation amongst the stakeholders, provides a foundation for any evaluation, offers measures for determining progress and success, and identifies any assumptions that could affect the resulting outcomes and impact.

## 2.4 Planning Process

### 2.4.1 Strategic Plan (SP)

SPs reflect the intended institutional outcomes that will help to achieve government's priorities and realise the institution's mandate. SPs institutionalise the priorities set out in the NDP; the MTSF; Spatial Development Plans (SDPs); provincial, sector and local government priorities; and any other government medium- and long-term plans. The five-year SP, which is aligned

with the planning cycle, gives the institution's impact statement, intended outcomes, related outcome indicators and five-year targets for the outcomes. The SP informs the APP of the institution, whose strategic focus must be linked to the allocated budget based on its mandate.

- Processes for revising Strategic Plans

The DPME Revised Framework outlines the process of revising the Strategic Plan as follows:

- Institutions must reflect the revisions to the SP through the re-tabling of the whole SP or the tabling of an Annexure to the APP.

  (a) If the changes in policy, service delivery environment and planning methodology result in the revision of the vision, mission, values and impact statement, outcomes, outcome indicators or targets, institutions must comprehensively revise the SP which must be re-tabled in the relevant legislature.

  (b) If the changes are minimal, such as changes to the outcomes, outcome indicators and targets, institutions must reflect such revisions to the SP as an Annexure to the APP which must be tabled in the relevant legislature.

- The re-tabled SP must be shared with the stakeholders including the legislature, the DPME, the OTP and relevant Treasuries. The re-tabled SP must also be published on the institution's website.

2.4.2   Annual Performance Plan

The APP must describe the institution's intended outputs that will enable it to achieve the outcomes and impact statements in the SP. The outputs must inform the budget and must include the audited performance of the past three planning years, the estimated performance for the current year and forward projections for the medium-term period. The annual performance planning process is informed by the strategic planning process

- The DPME Revised Framework outlines the processes for developing the APP as follows:

  (a) Institutions should engage all internal and external stakeholders. Stakeholders refers to those who are responsible for planning within an institution (usually the Strategic Planners) and for implementing the plan; who will be affected by it; and who will monitor its implementation. Where applicable, the principle of prioritising

women, youth and people with disabilities must be adhered to during the stakeholder consultation process.

(b) Stakeholders can be involved through workshops or through consultation meetings with specific groups (for example: per programme, sub-programme, objective, or cross-cutting functional area).

(c) Stakeholders must use planning tools agreed through a well-defined process of collaboration, partnership and communication including during development of the SP.

(d) Stakeholders must ensure that the APP's outputs are aligned with the SP's outcomes.

(e) The institution's Strategic Planner consolidates the plan which has been developed using relevant planning tools. This is embedded in the APP.

(f) Programme managers must sign off on the content of the APP, using internal sign-off mechanisms. The Accounting Officer, CFO and Head of Planning must sign off on the plan before it is approved by the Executive Authority.

(g) The Accounting Officer must submit the APP to the institution's Executive Authority for approval.

(h) The Accounting Officer must ensure that the institution's planning processes are aligned with the timeframes determined by the Leader of Government Business, the applicable provincial legislature, the DPME or the OTP, as applicable.

(i) The APP must be shared with all stakeholders including the legislature, the DPME and the relevant OTP and Treasury and must be published on the institution's website.

- Processes for revising APPs

Ideally, an APP should not be revised during a financial year. It may, however, be revised during a financial year under the following conditions:

(a) Revisions to the SP, as described in Section 3.3.4, will require revision of the outcomes and related outputs of the APP.

(b) Targets changed as a result of the in-year budget adjustment process must be reflected in a re-tabled APP and Adjusted Estimates of National Expenditure (ENE) or Adjusted Estimates of Provincial Revenue and Expenditure (EPRE).

## 2.4.3 Annual Operation Plan

Annual operational planning is the mechanism by which institutions plan how they are going to carry out the activities in, and achieve the outputs of, the APP and is a crucial part in the institutional planning process. An Annual Operational Plan (AOP) describes the activities and budgets for each of the outputs and output indicators in the APP. It also includes operational outputs not contained in the APP. AOPs are developed at institutional level and may be used as a management tool to inform performance agreements.

- The DPME Revised Framework outlines the process of developing the Annual Operational Plan as follows:

(a) Involve stakeholders at sub-programme level.

(b) At sub-programme level, list the outputs. This refers to the outputs that are in the APP and those that are not, including those relating to women, youth and people with disabilities (where applicable).

(c)  Develop a set of activities for each output.

(d) For each activity, indicate the timeframe within which it will be completed.

(e) Cost each activity.

(f)  Determine and indicate the dependencies for each activity.

(g) Assign responsibility for each activity

(h) The institution's Planner consolidates the AOP, which must be approved by the Accounting Officer by the end of March.

Time Frames

| Description | Submission to the Shareholder (First Draft) | Submission to EXCO | Submission to the Board | Submission to the Shareholder (Final Plans) |
|---|---|---|---|---|
| Strategic Plan | End of October | End of November | December | End of January |
| Annual Performance Plan | End of October | End of November | December | End of January |
| Revised Annual Performance Plan | Mid-September | End of September | Mid October | End of October |

## 3. TOOLS AND MECHANISMS

### 3.1 Indicator Protocols

3.1.1 Criteria of a good indicator

M&E framework is dependent on well-developed sets of indicators which are used to measure levels of performance against predetermined objectives and targets. They help measure progress towards realizing outputs, outcomes and ultimately the impact as outlined in the Strategic Plan.

Every indicator at the GPF will be subjected to the following criteria:

- Significance: it should accurately reflect progress to achieving specific outcomes.

- Relevance: it should be pitched at the correct level of decision making.

- Measurability: it should accurately and consistently reflect trends.

- Cost effective: it should use existing data sources and information.

- Easy to understand accessible to a broader audience.

3.1.2 Technical Indicator Descriptions (TID)

Each indicator requires the completing of an TIDS. This serves to correctly formulate the content, process and purpose of an indicator. Below is an outline of the content of the IPRS information:

- Name of indicator — title of the indicator;

- Definition of the indicator — describes key components of the indicator.

- Source of data — the systems from which data is generated.

- Method of collecting data — tools for collecting data;

- Reporting Cycle — regularity for data collection.

## 4. DATA MANAGEMENT

### 4.1 Data Quality Dimensions

Quality data is the cornerstone of evaluation. Without it, any results obtained will lack enough reliability to form an accurate picture of the efficacy of a programme. Below is an outline for organisation's data quality:

- Prerequisite for good quality — degree to which data can be relied upon for accuracy

- Accuracy - degree to which outputs accurately describe the phenomena which it was meant to measure i.e. one on one correspondence between output and data

- Relevance - degree to which data meets the needs of the client

- Timeliness - extent to which data is readily available at the time of reporting

- Access - relative ease with which data could be obtained

- Interpretability - degree to which data is easily understood

- Coherence - degree to which data is consistent over time

- Methodological soundness - degree to which data can be benchmarked against similar data

- Integrity - extent to which data is ethically sound i.e. not subject to manipulation

### 4.2 Data Management

It is required that the M & E unit within the GPF will:

- Keep paper and/or electronic based files as well as create a shared drive of all performance data and reports until the organisation M & E system is automated;

- Keep all reporting templates and tools for data collection;

- Adhere to the timeframes and frequencies for reporting;

- Validity, accuracy and completeness of reported achievements of the Strategic Plan (SP), Annual Performance Plans (APP) and Annual Operational Plan (AOP)

- Communication on performance information processes in place to ensure timeous submission of performance information to ensure timeous submission of performance information monthly, quarterly, and annually contributing to the annual report

- Achievability of set monthly, quarterly or annual targets to ensure that the objectives of the organisation are achieved.

### 4.3 Data Storage

The Strategic Support, Monitoring and Evaluation Unit within the GPF's will store Performance data electronically. The data will be stored on the shared drive, and it will be updated regularly. This will enable information to be readily available to interested parties.

### 4.4 Data Quality Assurance Process

Data quality should be checked at all levels of the organisation. The Performance Information Management and Reporting is expected to undertake Data Verification and or validation Sessions at the end of every quarter to subject the data to the various data quality dimensions (i.e. prerequisite for quality, accuracy, relevance, timeliness, accessibility, coherence, interpretability, methodological soundness and integrity). It is therefore important that all reports are submitted with a portfolio of evidence (POE) as per KPI and as described in the TIDs to enhance data quality assurance and verification processes. Reported performance without POE will not be accepted, the target performance will be recorded as not received (refer to 5.3).

### 4.5 Data Verification

The data verification process is internally undertaken by the Internal Audit unit. Data verification should take place in two stages using sampling methodologies:

- Document Review: review availability of source documents for the reporting period (i.e. Is there evidence or means of verification for all reported indicators); and

- Recounting of reported results: recount results from source documents (i.e. is the evidence relevant and complete);

This framework outlines the roles and responsibilities at different levels in relation data flow and data management.

**The at Business Unit level:**

- Collects and collate data using both paper-based and electronic system;
- Submits a consolidated report to the Programme Manager for approval and sign-off;

**Programme Executive**

- Validates and signs-off.
- Submit to the M&E unit in the predetermined templates and in accordance to the reporting schedules.

**The Strategic Support, M&E Unit**

- Strategic Support M&E collect and collate reports from all programmes;
- Strategic Support M&E unit prepares for submission of performance information reports to internal and external stakeholders
- Strategic Support M&E manger analyses the programme performance information and submits to the Executive Committee for monthly, quarterly and annual performance review sessions.

**Internal Audit Manager**

- Verifies the reported performance against POE provided to confirm actual performance

**The CEO**

- Validates and signs-off the report
- The report is submitted to Board for approval
- The report is submitted to the relevant stakeholders (GDHS and GPL)

## 5. REPORTING

### 5.1 Reporting Requirements

All M&E reporting requirements are informed by the PFMA. At the end of every quarter the GPF reports to the following stakeholders:

- Board of Trustees.

- GDHS.

- Gauteng Provincial Legislature.

- The Annual Operational Plan is reported monthly at MANCO and EXCO.

## 5.2 Information Products

The information products that will be generated by the M&E unit will be the following:

### 5.2.1   Monthly performance reports:

Below is the reporting template for the monthly performance reports:

| Programme | Output Indicators | Quarterly Targets | Monthly Targets | Month 1 Actual Performance | Reason for Deviation and Corrective Measures |
|---|---|---|---|---|---|
|  |  |  |  |  |  |
|  |  |  |  |  |  |

### 5.2.2   Quarterly Performance Reports

Below is a template used for the quarterly reporting:

| Programme | Outcome | Outputs | Output Indicators | Annual Target | Q1 Target 1 April -30 June 2022 | Q1 Actual Performance 1 April – 30 June 2022 | Reason for Deviation and Corrective measures |
|---|---|---|---|---|---|---|---|
|  |  |  |  |  |  |  |  |

5.2.3    Annual review (presented through the GDHS) to the Legislature

| Programme | Outcome | Output | Output Indicator | Audited Actual Performance 2019/2020 | Audited Actual Performance 2020/2021 | Planned Annual Target 2021/2022 | Actual Achievement July 2021 – March 2022 | Reasons for deviations and Corrective Measures |
|---|---|---|---|---|---|---|---|---|
|  |  |  |  |  |  |  |  |  |

Quarterly performance reports are prepared and submitted at the end of each quarter or 30 days thereafter, and provides the executive authority, the National Treasury and provincial treasuries with information and performance against plans. It also provided it also provides the accounting officer with an opportunity to indicate measures that will be taken to ensure that implementation of the APP remains of track.

The quarterly performance reports are ultimately consolidated into the organisation's performance section of the annual report. In addition, the quarterly performance reports for the second and third quarters provide information on the present year's performance to be taken into consideration in the development of the APP and annual budget for the following year.

5.3 **Analysis and Interpretation of Performance**

Performance information is both analysed and interpreted on a quarterly basis according to the below criteria:

| Colour Code | Description | |
| --- | --- | --- |
| | Achieved | 100% and above |
| | Partially Achieved | 50% - 99% |
| | Not Achieved | 0% - 49% |
| | No Report | No Report submitted |
| | No Planned Output | No Planned Target |

**5.4 Monitored outputs**

Outputs are obtained by converting inputs and resources through activities. The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.

5.4.1. Monitoring of outputs involves

- Analysis of the extent to which outputs have been produced. This is done by comparing the 'actual' against the 'target' of each listed output indicator.
- Verification if outputs assumptions have been realized;
- Analysis of the implementation arrangements in order to highlight important issues and lessons that can be learned.

5.4.2 Monitoring activities and inputs

In relation to the M&E of activities and inputs, the concern is to ascertain whether:

- Planned activities and tasks are being (or have been) implemented in a timely manner.

- Resources are being (or have been) used in an optimal manner (efficiently).

For these purposes, the Annual Operational Plan and budget established at the planning and design phase, serve as key reference documents.

The AOP should identify the main project milestones and the critical path of the project. Deviations occur all the time, but not all deviations are equally important. M&E will focus on these two aspects to inform analysis and interpretation. In case of deviations from the critical path it is essential to identify timely corrective or remedial actions.

The follow up of critical paths and meeting of deadlines is the responsibility of the project owner.

A range of tools are applicable to M&E. A mixture of tools is recommended in order to ensure that M&E is balanced with other project management functions/planned deliverables/planned targets and is useful and relevant in achieving its purpose.

### 5.4.3 Outputs achieved

This section addresses output achievements. The implementing unit is required to report on outputs that have been achieved fully, partially, or not at all, taking into consideration Actual versus Target for each output indicator. For planned but partially achieved outputs, it is useful to analyse the extent to which progress is recorded and/or to present the status in terms of activities implemented and provide corrective measures. For planned outputs that have not been achieved, it is expected that the implementing unit will explain why there is a gap and provide corrective measures.

### 5.5 **Reporting Time Frames**

| Description | Reporting deadline | Submission to EXCO | Submission to Internal Audit | Submission to Sub committees | Submission to the Board | Submission to the Shareholder |
|---|---|---|---|---|---|---|
| Operational Plan | 8 days after end of the month | 2 weeks after end of the month | N/A | N/A | N/A | N/A |

| Description | Reporting deadline | Submission to EXCO | Submission to Internal Audit | Submission to Sub committees | Submission to the Board | Submission to the Shareholder |
|---|---|---|---|---|---|---|
| Quarterly Reports | Two weeks after the end of the Quarter | Two weeks after the end of the Quarter | Three weeks after the end of the Quarter | Three weeks after the end of the Quarter | Eight weeks after end of the Quarter | One month after the end of the Quarter |
| Midterm review | 30 August 2022 | Beginning of October 2022 | N/A | Second week of October | Third week of October | 30 October 2022 |
| Annual Review | One month after the end of the financial year | Five weeks after the end of financial year | Six weeks after the end of financial year | Six weeks after the end of financial year | Two months after the end of the financial year | Two months after end of the financial year |

## 6. ROLE OF THE M&E UNIT

### 6.1 Key M&E Functions

Some of the key M&E functions of the GPF include:

- Review of the Strategic Plan
- Manage the revision of the APP during the mid-year review
- Ensure the development and approval of the APP and the AOP
- To monitor and evaluate organisational programme performance on a quarterly basis.
- To coordinate the compilation and submission of the organisational Annual Report by end of September
- To conduct Evaluation studies annually.

## 6.2 **M&E Information Management Approach**

M&E is integral to the organisation's business processes and therefore every programme manager has a direct responsibility in ensuring optimal performance. To ensure that this happens, every executive must:

- Take responsibility for programme performance and ensure that their data is accurate as well as sign-off on all quarterly reports.

## 7. **GPF EVALUATION STRATEGY**

Figure 3: GPF Evaluation Strategy
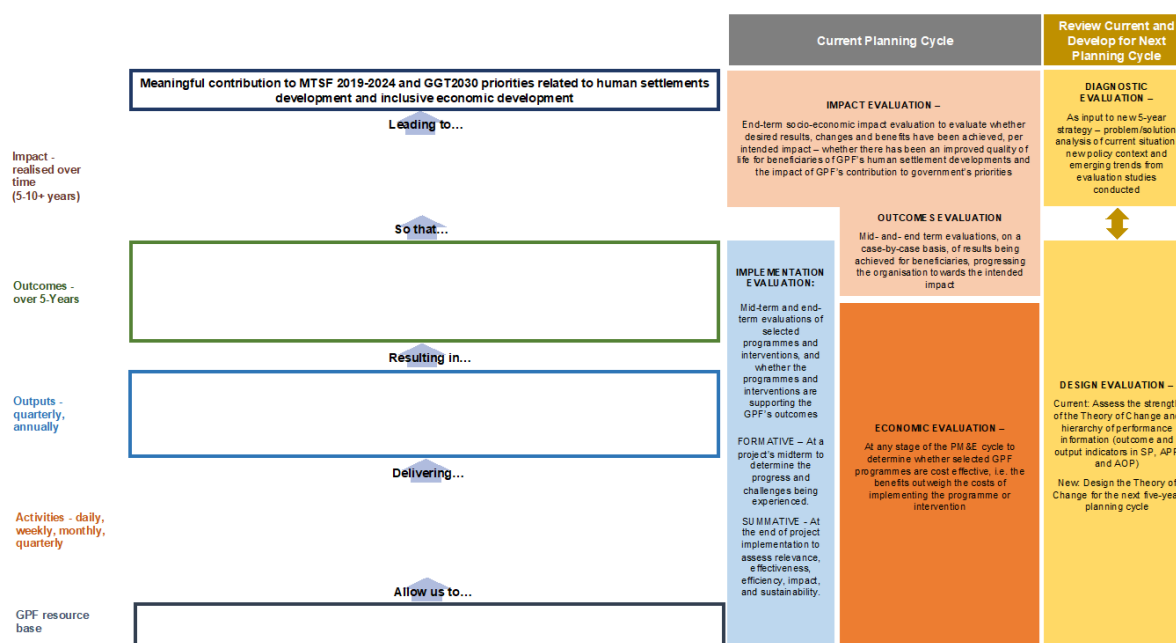


Evaluation Strategy, source: GPF Impact Reporting Framework

The Evaluation of GPF's interventions can be undertaken for the following purposes:

- Improving policy of programme performance by providing feedback to managers;

- Improving accountability for where public spending is going and the difference/impact it is making;

- Improving decision making e.g. what is working or not working; and

- Increase general knowledge (for research) about what works or does not with regards to public policy, plan, programme or project.

### 7.1 Evaluation Criteria

The process of evaluation will undergo include the following stages:

- <u>Pre-design and design stage</u>

  To decide on the nature of evaluation to be conducted, the methodological approach, timelines, resource allocations, research, stakeholder buy-in, instrumentation design and testing, data management.

- <u>Implementation stage</u>

  To look at preferred institutional arrangements (regular meetings), data gathering analysis.

- <u>Peer review stage</u>

  To obtain an unbiased and expert opinion on the data. In the case of the GPF, it will appoint internal auditors who will review the performance and the portfolio of evidence provided.

- <u>Recommendation and management responses stage</u>

  To allow for inputs on the preliminary findings.

- <u>Communicating the results stage</u>

  To outline the key finding to the various stakeholders

- <u>Follow Up stage</u>

  To ascertain the degree to which the recommendations have been implemented

### 7.2 Success factors (limitations)

- Full participation and buy-in from all stakeholders

- Possibly stipulated in Performance agreements/ KPI to ensure cooperation and accountability

## 8. CONCLUSION

The M&E Framework outlines the aspects of the M&E system of the GPF. The M&E Framework in conjunction with the Impact Reporting Framework will assist the organisation to achieve its strategic intent and comply with the information standards set by the Auditor-General. The

M&E's ultimate success or failure is dependent on cooperation and involvement of all staff members of the GPF at all levels..

The M&E framework will be subjected to an biannual review, if necessary, to allow for an adjustment to unforeseen changes in organizational focus or priorities.

**OFFICIAL SIGN-OFF**

It is hereby certified that this Monitoring and Evaluation Framework for the Gauteng Partnership Fund:

1) Was developed by the monitoring and evaluation unit under the guidance of the Executives and the Chief Executive Officer, Ms Lindiwe Kwele.

———————————————                    ———————————————

**Ms. Amanda Clark**                                              **Date**
Corporate Services Executive

———————————————                    ———————————————

**Ms. Leah Manenzhe**                                         **Date**
Chief Investment and Development Officer

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**Mr. Bongani Juta**                                               **Date**
Acting Chief Financial Officer

**APPROVED BY:**

———————————————                    ———————————————

**Ms. Lindiwe Kwele**                                           **Date**
Chief Executive Officer