

# **SOUTH AFRICAN COUNCIL FOR EDUCATORS**

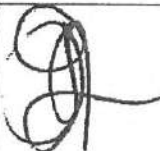
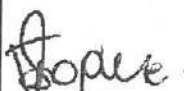


## **PLANNING, MONITORING, EVALUATION AND REPORTING POLICY FRAMEWORK 2019-2021**

DOCUMENT APPROVAL PAGE

SOUTH AFRICAN COUNCIL FOR EDUCATORS

PLANNING, MONITORING, EVALUATION AND REPORTING POLICY FRAMEWORK

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**ACRONYMS**

AC: Audit Committee

APP: Annual Performance Plan

ASS: Annual School Survey

CEO: Chief Executive Officer

DBE: Department of Basic Education

DPME: Department of Planning, Monitoring and Evaluation

DPSA: Department of Public Service and Administration

FMPPI: Framework for Managing Programme Performance Information

IA: Internal Audit

MOs: Measurable Objectives

MOV: Means of Verification

MTEF: Medium Term Expenditure Framework

MTSF: Medium Term Strategic Framework

NDP: National Development Plan

NPC: National Planning Commission

NT: National Treasury

PFMA: Public Finance Management Act

PI: Performance Information

PME: Planning Monitoring and Evaluation

PMER: Planning Monitoring, Evaluation and Reporting

PMERR: Planning Monitoring & Evaluation Reporting and Research

QPR: Quarterly Performance Reports

SACE South African Council for Educators

SO: Strategic Objective

SONA: State of the Nation Address

Stats SA: Statistics South Africa

VPI: Verification of Performance Information

# **SECTION A: BACKGROUND**



## **1. Introduction**

The public sector reforms of the democratic dispensation in South African particularly pertaining to management of public finances have highlighted the need to focus on the management of performance information. In South Africa, the Constitution of 1996 and the PFMA of 1999 all place emphasis on accountability and the need for an efficient, effective and transparent management of performance of government institutions. The South African Council for Educators' development of Planning Monitoring Evaluation and Reporting (PMER) Framework 2019-2021 responds to these legislative and policy requirements.

However, it must be stated with great emphasis that although the PMER Framework 2019-2021 seeks to respond to the legislative and policy requirements on management of performance information, it is not merely a compliance document. It is a living document that seeks to assist the Organisation to manage performance more effectively which will result in improved service delivery. At the same time, it is meant to enable stakeholders to hold it accountable. This PMER framework also seeks to consolidate progress made in implementing the Audit Action Plan on performance information. Through this document the process to be followed in carrying out PMER functions in the Organisation and the responsibilities of role players are outlined.

### **1.1. The importance of measuring performance in the public sector**

The service delivery challenges facing the state after about 25 years of democracy in South Africa have highlighted the need for government to use reasonable methods to monitor and evaluate performance of public institutions and bodies. It is clear from the policy documents that the importance of the measuring performance is therefore generic for the public sector. Amongst others, measuring performance is important because:

- Performance information indicates how well an organisation is doing in meeting its aims and objectives, and which policies and processes are working;
- It facilitates accountability by focusing the attention of the public and oversight bodies on whether public institutions are delivering value for money;
- It can inform and enhance the budget allocation process by highlighting programmes that are not doing well and those that are meeting the set objectives; and
- Through measuring performance service delivery can be improved but enabling managers to pursue results-based management systems.

## 1.2. Purpose of the PMER Framework

The purpose of the PMER Framework 2019-2021 is to:

- Outline the strategic planning process that must be undertaken to improve planning in the organisation;
- Integrate and align M&E activities in the Organisation by specifying the roles and responsibilities for managing performance information;
- Outline the procedures to be followed in the process of documenting and recording and reporting performance information;
- Promote accountability and transparency by providing stakeholders including the Executing Authority, the Provincial Legislature, Office of the Premier, National Organisation of Planning, Monitoring and Evaluation, and the public with timely, accessible and accurate performance information; and
- Provide for the process in identifying, collecting, collating and verifying performance information.

## 2. Policy Imperatives 2015-2020

The Medium-Term Strategic Framework 2015-2020 espouses five priority of government adopted from the electoral mandate. In 2010 government translated these priority areas into a set of 12 outcomes which were subsequently revised to 14 outcomes and a few crucial outputs whose achievement will place the country on a new developmental path. These outcomes reflect the desired development impact that government seeks to achieve.

Significantly, the adoption of the *Outcomes Approach* in 2010 has ensured that public institutions pay more attention to systematic monitoring and evaluation of whether their programmes or intervention are successful. The *Outcomes Approach* was designed to ensure that government focuses on achieving the expected real improvements in the life of South Africans. It is expected that the implementation of this approach will assist government track progress being made in implementation of public programmes, collect evidence about what is or not working, and most importantly improve planning and implementation.



SACE is mandated to drive and ensure the implementation of outcome 1 in the National and provincial landscape. This outcome aims to improved quality of basic education. The outputs are as follows:

- Improved quality of teaching and learning through development, supply and effective utilisation of teachers
- Improved the quality of teaching and learning through provision of Infrastructure and learning materials
- Regular annual national assessments to track improvements in the quality of teaching and learning (ANA)
- Improved Grade R and planning for extension of ECD
- A credible, outcomes-focused planning and accountability system (building the capacity of the state to intervene and support quality education
- Partnerships for a Strong Education System

The Organisation also contributes to Outcome 12: An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship.

The SACE Strategic Plan 2015/16 – 2019/20 and the Annual Performance Plans seek to give expression to the outlined policy imperatives of government. Managing performance of the Organisation will essentially strive to periodically establish progress on the contribution to the policy priorities and improve design and implementation of programme and projects based on the results of the performance reviews.

### **3. Legislative and Policy Context**

The focus on monitoring and evaluation of performance in the South African public sector has developed significantly over the past years both in legislative and policy positions and in the implementation of the M&E mechanisms.

#### **(a) *Constitution of the Republic of South Africa 1996***

A number of sections in the Constitution make reference to monitoring and evaluation of performance in the public sector. Most importantly creates mechanism for holding government accountable. Section 92 of 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".



**(b) *The Public Finance Management Act of 1999***

Section 27(4) of the PFMA makes provision for the development of measurable objectives which must be included in the annual budgets of national and provincial institutions. While Section 40 (3) (a) and 55 (2) (a) makes provision for the reporting of performance against predetermined objectives in institutions' Annual Reports.

The PFMA promotes reporting against predetermined measurable objectives which are outlined in short and medium terms plans.

Section 38 (d) of the PFMA states that the Accounting Officer has responsibility to manage, safe-guard and maintain assets and manage the liabilities of the department or entity, and Section 38 (a) (iv) and (c) (iii) makes a provision for a systems for properly evaluating all major capital projects prior to a final decision on the project and manage available working capital efficiently and economically.

**(c) *Treasury Regulations, 2005***

The Treasury Regulations outlines the requirements for the development and submission of Strategic Plans, as well as, related quarterly performance reporting. In addition, National Treasury Instruction Note 33 of 2011 regulates the development of Strategic and Annual Performance Plans according to the Framework for Strategic Plans and Annual Performance Plans (2010).

The Treasury regulations regulates the requirements for the development of strategic and annual performance plans and the reporting thereof

**(d) *Policy Framework for the on Government Wide Monitoring and Evaluation Systems***

In 2007 government produced a Policy Framework for the on Government Wide Monitoring and Evaluation Systems. This framework was essentially the first policy on government wide monitoring and evaluation in South Africa. Its aim was to provide integrated, encompassing framework for M&E principles, practices and standards to be used throughout government, and function as an apex-level information system which draws from the component systems in the framework to deliver useful M&E products for its users.

**(e) *Framework for Performance Information Management (2007)***

National Treasury's 2007 Framework for Management of Programme Performance Information stresses the need for Organisations to put in place processes to ensure

that performance information is used in planning, budgeting and management in the Organisation. This would include (a) the setting of ex ante performance standards and targets; (b) reviewing progress and taking managerial action and (3) evaluation of programme performance. It also suggests processes to ensure that performance information management responsibilities are included in the performance agreements of line managers.

**(f) *The Green Paper: Improving Government Performance (2009)***

The Green Paper on Improving Government Performance (2009) provides the framework for the activities of the Organisation of Performance Monitoring and Evaluation. The Green Paper on Improving Government Performance was developed with the aim of translating Government's electoral mandate into a clear set of outcomes and output measures. It is envisaged that these outcomes and output measures will assist Government in delivering on the 12 outcomes identified as priorities. The Paper complements the Green Paper on National Strategic Planning and together envisages reforms which will facilitate improvements towards achieving a development state.

**(g) *Budget Prioritisation Framework***

Government plans are implemented at different levels across the three spheres of Government (national, provincial and local) and across a large number of public entities and State-owned Companies. The Budget Prioritisation Framework aims to guide all spheres of Government and all Government entities to refine plans and *develop budget proposals*. The Budget Prioritisation Framework's objective is to establish the strategic framework for decision-making on budget priorities that are required to advance the goals of the NDP. It seeks to establish a systematic basis for making strategic choices among competing priorities and limited resources, in order to better optimise the budget as a key lever for driving the NDP.

**(h) *Statistics Act 6 of 1999***

The Statistics Act advances the planning, production, analysis, documentation, storage, dissemination and use of official and other statistics. The purpose of official statistics is to assist organs of state, businesses, other organisations or the public in planning, decision making, and monitoring or assessment of policies.

The use of official statistics strengthens the quality of government and institutional short- and medium-term plans.



**(i) Framework for Strategic and Annual Performance Plans**

The draft framework for strategic and annual performance plans 2019, replaces the framework that has been utilised by national and provincial government, and was published by the national treasury in 2010. "The disparate and diffused nature of planning has resulted in a complex plethora of plans, legislation and structures. This fragmented planning landscape has led to sub-optimal outcomes and asymmetrical impacts of government policies and programmes and sub optimal returns on the resources allocated to them. The imperative of institutionalising planning for development in government has been fully recognised and resultant planning reform to thus the Integrated Planning Framework Act". (draft strategic and annual performance plan framework 2019)

The purpose of the Revised Framework for Strategic and Annual Performance Plans is to provide the principles for short- and medium-term planning for government institutions, outline the alignment of various institutional plans to high level government long and medium-term plans, as well as institutional processes for the different types of plans. This Framework is applicable to all national departments, provincial departments, and government components as listed in Schedule 1, Schedule 2 and Schedule 3A of the Public Service Act (PSA) (1994) respectively, constitutional institutions as provided in the Constitution of the Republic of South Africa (1996) and public entities listed in Parts A and C of Schedule 3 of the Public Finance Management Act (PFMA) (1999).

**4. Definition of Concepts**

The concepts Planning, monitoring and evaluation are often used together as if they mean the same thing yet they refer to different type of activities. It is therefore imperative that this plan outlines what these concepts mean particularly in relation to the organisation.

**(a) Planning**

Integrated Planning Framework Act (IPFA), provides for the functions of the Department responsible for Planning, Monitoring and Evaluation; to establish an institutional framework for a new predictable planning paradigm and discipline within and across all spheres of government; to support effective monitoring and evaluation of government programmes aimed at improved service delivery and positive impact on society, to provide for the continued existence of the National Planning Commission; and promote better coordination, collaboration and alignment of Planning, Monitoring and Evaluation between and across the national, provincial and local spheres of government, and including public entities. Planning tools enables the

institutions to conceptualise the strategic focus, plan for results and identify enablers towards achieving the intended results.

The following planning tools, among others, may be used in the different stages of the planning process:

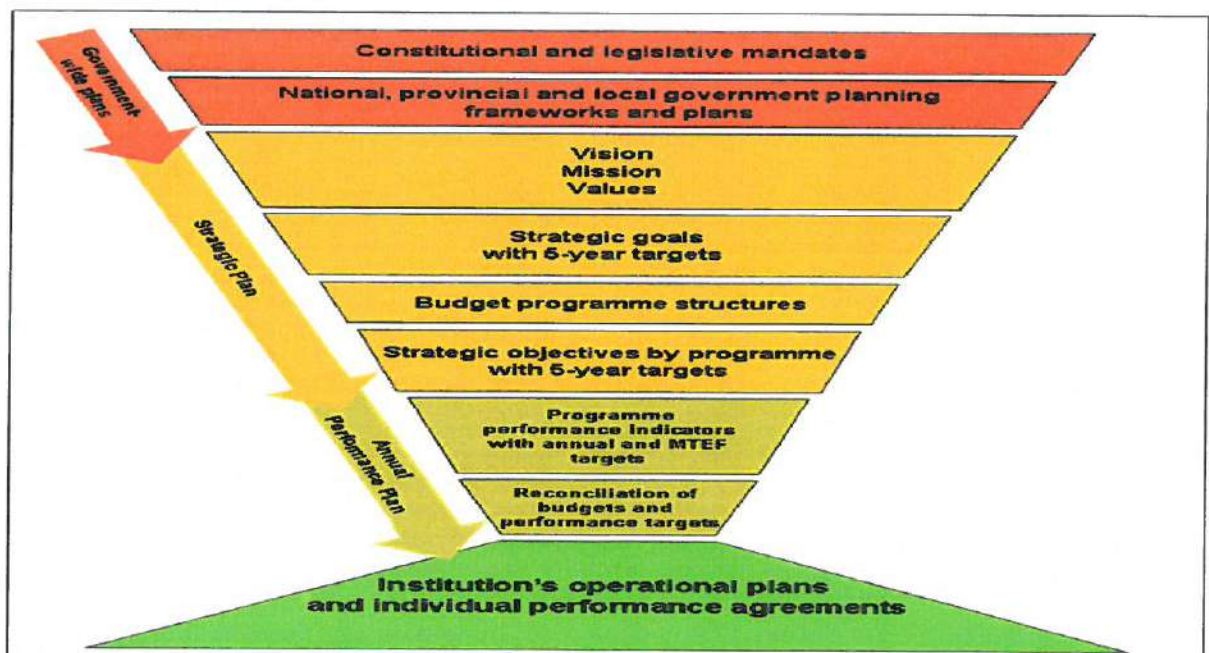
Planning tools for the Situational or Diagnostic Analysis

- a) Scenario planning
- b) SWOT and PESTEL
- c) Fishbone
- d) Problem and Solution tree analysis

Planning tool for the development of Strategic Plans, Annual Performance Plans and Annual Operational Plans

- a) Theory of change
- b) Log-frame
- c) Balanced score card
- d) Activity based costing
- e) Project management tools

### ***Planning Concepts***





## **(b) Annual Operational Planning**

An Annual Operational Plan outlines the activities and budgets for each of the outputs and output indicators reflected in the Annual Performance Plan. Annual Operational Planning is crucial in the hierarchy of institutional planning as it is the mechanism within which institutions plan for the achievement of activities that contribute to the Annual Performance Plan outputs. In addition, Annual Operational Plans include operational outputs, which are not reflected in the Annual Performance Plan.

The contents of the Annual Operational Plan should be informed by the Strategic and Annual Performance Planning processes using the relevant planning tools. Annual Operational Plans must be developed at an institutional level and should be used as a management tool to inform performance agreements.

## **(c) Evaluation**

Evaluations seek to provide an objective view through rigorous research methods to inform conclusions about performance, reasons for performance and non-performance, and to suggest recommendations for improvement.

The National Evaluation Policy Framework (2011) 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.

Evaluation is the systematic assessment of the operation and/or outcomes of a program or policy, compared to a set of explicit or implicit standards, as a means of contributing to the improvement of the program or policy. More practically, evaluation is a time bound exercise carried out periodically that seeks to provide useful and credible information about the usefulness and success of an intervention.

***Types of evaluations which can be undertaken at the different stages of the planning and implementation cycle***

Type of Evaluation	Description	Stage in cycle	Use of Evaluation Findings
<b>Diagnostic evaluation</b>	Defines the problem, the root causes of the problem, and options that can be considered	Diagnosis is undertaken prior to planning an intervention to inform the design of an intervention.	The diagnostic evaluation is used to assess the underlying problem, the root causes, and options / solutions.
<b>Design evaluation</b>	Reviews the strength of the design of an intervention.	Preferably a quick review after design is completed but before implementation, to allow time to make improvements to the intervention.	To improve the design of an intervention before implementation begins in order to strengthen the likelihood of the intervention achieving its intended results.
<b>Implementation evaluation</b>	Assesses whether the theory of change underlying the intervention is being achieved, whether the outputs are being achieved, whether the outcomes are likely to be achieved and whether the assumptions underlying the design of the intervention hold.	During implementation of an intervention.	Findings can be used to determine how the design and operation of an intervention should be improved to achieve the intended results.
<b>Impact evaluation</b>	Undertaken at the end of a phase of the implementation of a plan to assess whether the intended outcomes and impacts of the intervention are being achieved. Impact evaluation should be designed at the beginning of an intervention, including a baseline, and the planned results.	After a minimum of five years of implementation of an intervention.	This will provide a source of evidence for decisions related to the improvement, continuation or discontinuation of the intervention, and / or other policy and budget allocation decisions.
<b>Economic evaluation</b>	Undertaken to assess costs-benefits or cost-effectiveness of an intervention, and will often be combined with a diagnostic (to compare options), or impact (to compare cost-benefits of different models implemented) evaluations.	At any stage during the implementation of an intervention.	Findings are used to determine whether an intervention requires improvement or discontinuation based on evidence on the relationship between an intervention's results and the costs associated with those results.
<b>Synthesis evaluation</b>	Undertaken when a number of evaluations have been concluded for a sector. These evaluations review where the results of a number of evaluations and research evidence can be used to generate a	Any stage of an intervention, particularly diagnostic prior to redesign of new policy, or legislation	Findings often used from range of programme evaluations as a review of a sector



Type of Evaluation	Description	Stage in cycle	Use of Evaluation Findings
	performance view of the sector.		

#### (d) **Monitoring and Reporting**

It refers to the continuous process of examining the delivery of programme outputs to intended beneficiaries, which is carried out during the execution of a programme with the intention of immediately correcting any deviation from operational objectives. The activities pertaining to the collecting performance data, producing the performance reports and performance reviews are the main examples of performance monitoring that is undertaken in the Organisation must be planned and conducted continuously by collecting data on specified indicators, verifying and storing the data, and analysing and reporting findings. These monitoring findings must be utilised to provide management, oversight institutions and the public with information of the extent of actual progress in implementation in relation to the plan.

Reporting is a vital component of the monitoring process and must be undertaken with the intent to use the findings to inform management and oversight decision making. Reporting entails tracking progress against a plan and it improves accountability for delivering on the priorities of government, and provides focus on the use of allocated budgets by institutions. It also provides an opportunity for institutions to indicate measures that will be taken to ensure that implementation of plans remains on track.

The institutions' Performance Information Management policy or Planning, Monitoring and Evaluation framework should outline institutional processes for management and use of credible Monitoring and Evaluation (M&E) findings and recommendations.

In terms of the Revised Draft Framework for Strategic and Annual Performance Plans, monitoring and reporting must be done against the Strategic Plans, Annual Performance Plans and Annual Operational Plans. An integral part of monitoring is the practice of regular and ad hoc reviews. Regular reviews must be undertaken against the Strategic Plan such as Mid-term reviews (two and a half years) and End-term reviews (on the fifth year before the new administration). Ad-hoc reviews should be conducted against Implementation Programmes, policies, projects, systems and other special interventions. The findings of these reviews must be used to inform the design or improvements of plans during the short- and medium-term planning processes.

## **(e) Reporting on the Annual Performance Plan**

### **Quarterly Performance Reports**

Purpose:

Quarterly Performance Reports (QPRs) provide progress on the implementation of an institutions' Annual Performance Plan on a quarterly basis, with particular reference to monitoring performance against outputs.

A Quarterly Performance Report requires institutions to review performance over a three-month period, justify and communicate achievements, and indicate the necessary actions that will be taken to ensure that the implementation of the Annual Performance Plan remains on track.

Timeframes:

Quarterly Performance Reports must be submitted within 30 days after the end of each quarter. Reported information must be *valid* at the time of reporting.

## **5. Principles of Monitoring and Evaluation in the Public Sector**

To ensure that PMER will optimally assist Government in its endeavours, the Policy Framework for Government Wide Monitoring and Evaluation System provides a number of principles that should be applied to ensure sound Planning monitoring and evaluation in the public sector.

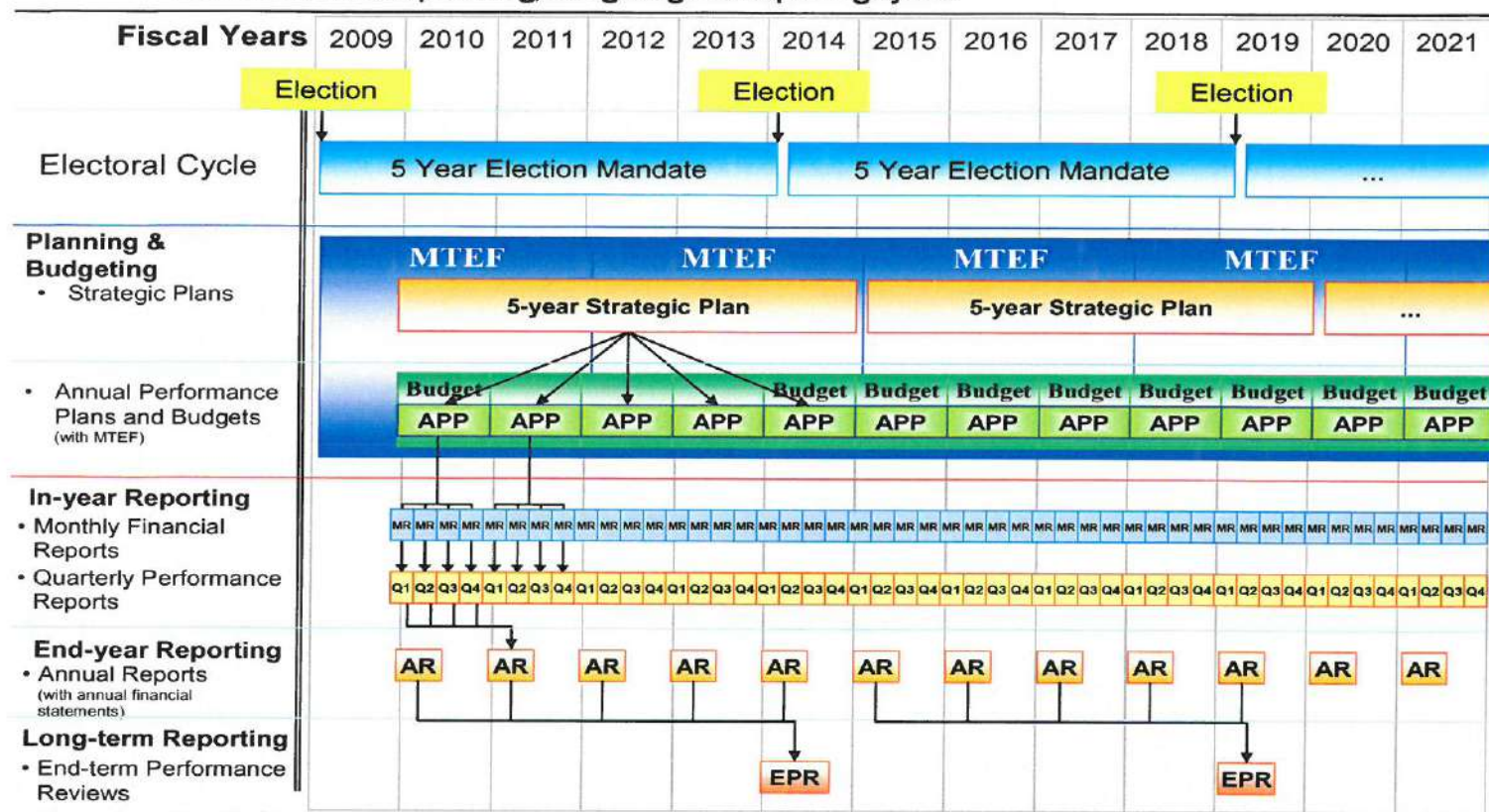
These principles include the following:

PRINCIPLE	RATIONALE
PME should contribute to improved governance	This can be done by ensuring that all findings are publicly available, the use of resources are open to public scrutiny and traditionally excluded interest are represented through the monitoring and reporting processes
PME should be rights based	A rights-based culture should be promoted and entrenched by its inclusion in the value base for all monitoring and evaluation processes
PME should be development-oriented, nationally, organisationally and locally	Poverty's causes, effects and dynamics should be highlighted and the interests of the poor people to be prioritised. Variances reflecting organisational performance and service delivery should be analysed and reviewed.



PRINCIPLE	RATIONALE
	Links should be identified and responsive strategies formulated.
PME should be undertaken ethically and with integrity	<p>Knowledge and an appetite for learning should be nurtured and skills required to deliver planning monitoring and evaluation should be fostered and retained.</p> <p>The possible impacts of monitoring and evaluation interventions should be considered and reflected upon in plans and their actual outcomes should be tracked and analysed systematically and consistently</p>
PME should be utilisation oriented	Planning, Monitoring and evaluation product should meet knowledge and strategic needs. A record of recommendations should be maintained and their implementation followed up. An accessible central repository of evaluation reports and indicators should be maintained.
PME should be methodologically sound	Common indicators and data collection methods should be used to improve data quality and allow trend analysis. Findings should be based on systematic evidence and analysis. The methodology used should match the questions being asked. Multiple sources of data/information should be used to build credible findings.
PME should be operationally effective	The scale of Planning monitoring and evaluation application within a Government organisation should reflect its purpose, level of risk and available resources. Continuous management of the function should lead to sustained timeous delivery of excellence. The benefits of Planning, monitoring and evaluation should be clear and its scale of application should be appropriate given resource availability. Robust systems should be built up to ensure that effective and efficient monitoring and evaluation is not dependent on individuals or chance.

### Documents of the planning, budgeting and reporting cycles



**Section B:**  
**INSTITUTIONALISING M&E IN**  
**THE ORGANISATION**



## 6. Institutional Arrangement for PMER

Although the Organisation has been carrying out performance monitoring activities in the past and all managers are responsible for PMER in the immediate working environment, it has largely been uncoordinated and not integrated. In 2019 the Organisation decided to establish a Division responsible for Planning, Monitoring and Evaluation Reporting and Research (PMERR). PMERR is the primary structure that is responsible for overall function and institutionalising M&E in the Organisation. In the outer years it will develop a plan for institutionalising M&E in the Organisation.

### 6.1. Functions of PMER

The key functions of the PMER Division are to:

- Coordinate and support the strategic planning processes of the Organisation;
- Monitor and evaluate the performance of the Organisation against policy and mandated directives, report on findings and provide recommendations;
- Develop and institutionalize Planning, M&E and Reporting framework for the Organisation;
- Develop tools and methodologies to support the Monitoring and Evaluation of policies, programs and projects; and
- Conduct impact assessment of Organisational policy initiatives and implemented programs.

In the 2019-2021 financial years the Division will carry out the following activities to ensure that the Organisation plan, monitor, evaluate and report performance.

Review the Planning, M&E and Reporting Framework for the financial years which will form the basis upon which PMER is to be conducted within the Organisation.
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Develop an Annual Performance plan in line with the current strategic plan to ensure alignment and in year reporting.
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Create standardised input templates for reporting purposes to ensure that similar data format is captured throughout the Organisation. This will improve the monitoring process in that similar data will improve the comparison and analysis processes.
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Analyse data for quarterly and annual preparation of the quarterly performance reports.
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Verify all performance reports and collate a portfolio of evidence for all Organisational outputs.
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Support quality performance reporting by conducting workshops on programme planning and report with all programmes.
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Monitor and evaluate selected programmes in the Organisation.
Compile PMER policies, process guides and other information guides to build capacity for monitoring and evaluation within the Organisation.
Make recommendations to Senior Management, Committees and to all other processes and changes required to improve PMER functions and operations within the Organisation.

## 6.2 Other Organisational PMER Institutions

The Organisation also has institutional structures that have an inherent role for monitoring and evaluating programme performance. In particular the Organisational Executive Committee (EXCO), Senior Management Committee (Senior MANCO), Extended Management Committee (Extended MANCO) which play an important institutional role in the planning and performance management of the organisation.

- Executive Committee: It comprises with the Chairpersons of the seven committees, the CEO, CFO, two heads of divisions and the Chairperson of the council. The committee is responsible for adopting recommendations made by the other committees. The other role is to hold the other committees and employees accountable especially on issues of performance. The committee look at the reported outputs of the quarter and plans ensure that the organisation is on track with the planned activities.
- Organisational Senior Management Committee: It comprises of all Senior Managers in the Organisational and convenes twice-monthly. The mandate of this committee is to determine the strategic direction of the Organisation, approve policy and related Organisational wide issues, and review organisational performance. The Senior MANCO meetings will monitor the Organisational performance through analysis of quarterly reports by the PMERR Division; make decisions based on the performance analysis and recommendations on corrective actions.
- Extended Management Committee: It comprises of all managers in the Organisation and convenes monthly. The role of this forum is primarily to review organisational performance, thrush out administrative decisions and plan for the next financial year. PMERR will make presentation to Extended MANCO on the analysis of performance; recommend measures to be implemented and support its planning activities.
- Managing of performance information is the responsibility of each programme within the Organisation, 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 to compile progress reports in line with Organisational Annual

Performance Plans and the Annual Operational Plans. The monitoring of programme performance will be conducted quarterly during the Extended MANCO Meetings.

- **Council Meeting:** The CEO will keep the Member of the Council informed on progress regarding Organisational 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 Council. The Council will provide guidance on further interventions necessary to improve organisational performance.

### 6.3 Summary Roles and Responsibilities

#### Roles and Responsibilities for Planning

- Public entities must ensure that government priorities are incorporated in their short- and medium-term plans.
- Public Entities must submit draft Strategic Plans and Annual Performance Plans to the oversight departments.
- Public Entities must establish processes to take consolidated recommendations from oversight departments into consideration to improve the quality of the plans.

Person/Institution	Responsibility
<b>Member of the Executive Council</b>	Is accountable to parliament which has to be provided with full and regular reports regarding matters under the organisation's control. The Executive Authority needs to ensure that the organisation has the appropriate performance information systems in place in order to fulfil their accountability reporting responsibility. They 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.
<b>Accounting Officer/CEO</b>	Is responsible 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 (i.e. that there is a link between planning, budgeting and performance monitoring and evaluation processes for example). In the integration of performance information systems with management processes and systems

<b>Programme Manager/ Senior Managers</b>	Responsible for overseeing performance in their respective programmes/sub programmes. This will include overseeing that the systems and processes are established and maintained in the collection of performance information and evidence of performance, as well as signing off on progress reports that are sent to PMERR, to confirm accuracy (i.e. verification). They are required to analyse and use performance information for improving programme and project management design as well as to act promptly upon monitoring and evaluation findings where corrective action is required.
<b>Line Managers and other Officials</b>	Responsible for establishing and maintaining the performance information systems and processes within their areas of authority. Other officials are responsible for capturing, collating and checking performance data related to their activities. The integrity of the institution's overall performance information depends on how conscientiously these officials fulfil these responsibilities.



## **SECTION C: BUSINESS PROCESS**



## **7. Business process for performance information**

Planning, Monitoring Evaluation and Reporting of Organisational performance will be done through the following processes:

### **7.1. Strategic Plan 2015-2020**

At the beginning of the Medium-Term Strategic Framework period 2015-2020 the Organisation developed a strategic plan. It takes into consideration the SACE Act, NDP, election manifesto, MTSF (Outcome 1), sector plan, president and Service Delivery Agreements entered into in terms of the broad strategic outcomes and any other relevant long-term government plans. The SACE Strategic Plan 2015/16 – 2019/20 lays the foundation for the development of Annual Performance Plans during this period.

### **7.2. Annual Performance Plan**

Before the beginning of the financial year and at a date determined by Parliament, the Organisation will table an Annual Performance Plan detailing the priorities, indicators and targets. The APP will espouse the Medium-Term Strategic Framework 2015-2020 and all other plans driving the process. Although there are a number of other planning documents that the Organisation will produce, the APP is the main document and the basis of planning monitoring, evaluation and reporting.

### **7.3. Annual Operational Planning**

An Annual Operational Plan outlines the activities and budgets for each of the outputs and output indicators reflected in the Annual Performance Plan. Annual Operational Planning is crucial in the hierarchy of institutional planning as it is the mechanism within which institutions plan for the achievement of activities that contribute to the Annual Performance Plan outputs. In addition, Annual Operational Plans include operational outputs, which are not reflected in the Annual Performance Plan. The contents of the Annual Operational Plan should be informed by the Strategic and Annual Performance Planning processes using the relevant planning tools. Annual operational plan is approved by the CEO before the beginning of the financial year.

### **7.4 Quarterly Reports**

- Institutional Quarterly Performance Reports must be compiled according to the relevant Quarterly Performance Reports guidelines issued by the DPME.
- Quarterly Performance Reports must provide progress against targets set in the Annual Performance Plan and must be approved by the Accounting Officer-CEO,

and submitted to Executive Authority, and oversight institutions. Quarterly Performance Reports will be generated in each quarter based on the indicators of performance as entailed in the APP.

- Performance information is generated and processed in the following way:
  - In the course of duty, frontline officials collate performance information and Means of Verification (MoV) which must be submitted to Managers/Supervisors.
  - Managers/Supervisors must verify the generated information against the MoV as well as consolidate them into division performance reports.
  - Consolidated division performance report is to be sent both electronically and in signed hard copies to the relevant Senior Manager.
  - The Senior Manager must subject the submitted performance reports and MoV to quality assurance and consolidate it into a programme report after which it must be sent to the PMERR Manager.
- All Programme Managers/Senior Managers shall assume the role of Information Oversight Officers. Information Oversight Officers refer to officials designated to ensure that information reported on is accurate and supported by evidence. They are accountable for any reported information within their scope of application. They are required to verify the actual performance reported for the quarter, analyse and explain any material deviation and identify corrective action where appropriate. They are also required to validate the evidence in support of the performance reported. They shall ensure that evidence on performance information reported is systematically available, complete and accessible.
- Programme Managers/Senior Managers shall submit their Quarterly reports on the date communicated to them by PMERR of the first month after the end of the quarter to the PMERR Division, supported by Means of Verification per indicator and relevant to the progress made on targets.
- Quarterly performance reporting can be viewed as an enabling mechanism that allows **Accounting Officers or CEOs** to track progress against what has been planned and what is actually achieved in the form of service delivery outputs.
- CEOs have the following responsibilities:
  - Approval of captured Annual Performance Plan and quarterly performance reports.
  - Sign off on performance information and attachment of approval certificate/letter.
  - Submit the signed off report to DBE.



- PMERR conduct analysis and verification of the submitted quarterly performance reports to inform the performance review meetings, Committee meetings and prepare for next quarterly report.

### **7.5 Annual Reporting**

- The Organisation shall submit a draft Annual Report to the Auditor General's (External Auditors) Office no later than the 31<sup>st</sup> of May of each year.
- The Accounting Officer shall submit an Annual Report to the Executive Authority no later than the 31<sup>st</sup> August of each year.
- The Accounting Officer and Executive Authority shall table the Annual Report to the Portfolio Committee on the date that has been communicated to them.

### **7.6 Means of Verification**

This policy Framework is developed against the Annual Performance Plan of the Organisation and reflects all the indicators per Programme. In order to facilitate verification of performance a definition of indicators is published as annexure B in the APP ( Technical Indicator Descriptors) detailing the type of evidence to be used was developed by the Division PMERR together with Programme Managers.

### **7.7 Collecting, Collating and Storing of Performance Information and Means of Verification**

- Central depository of PI across all Quarters and Programmes is created in the office of the Manager: PMERR.
- Files opened per Quarter, per Programme, containing the MoV per indicator resulting in a Portfolio of Evidence (PI).
- PMERR Division must support collection/consolidation, collating and storing the PI.
- A Peer review moderation between the PMERR officials takes place after the official verifying evidence has ended.

### **7.8 Verification of Performance?**

The Division PMERR will develop a methodology and review the portfolio of evidence and means of verification quarterly. Primarily, this review must focus on is establish whether evidence of performance is complete, valid and accurate as well as accessible.

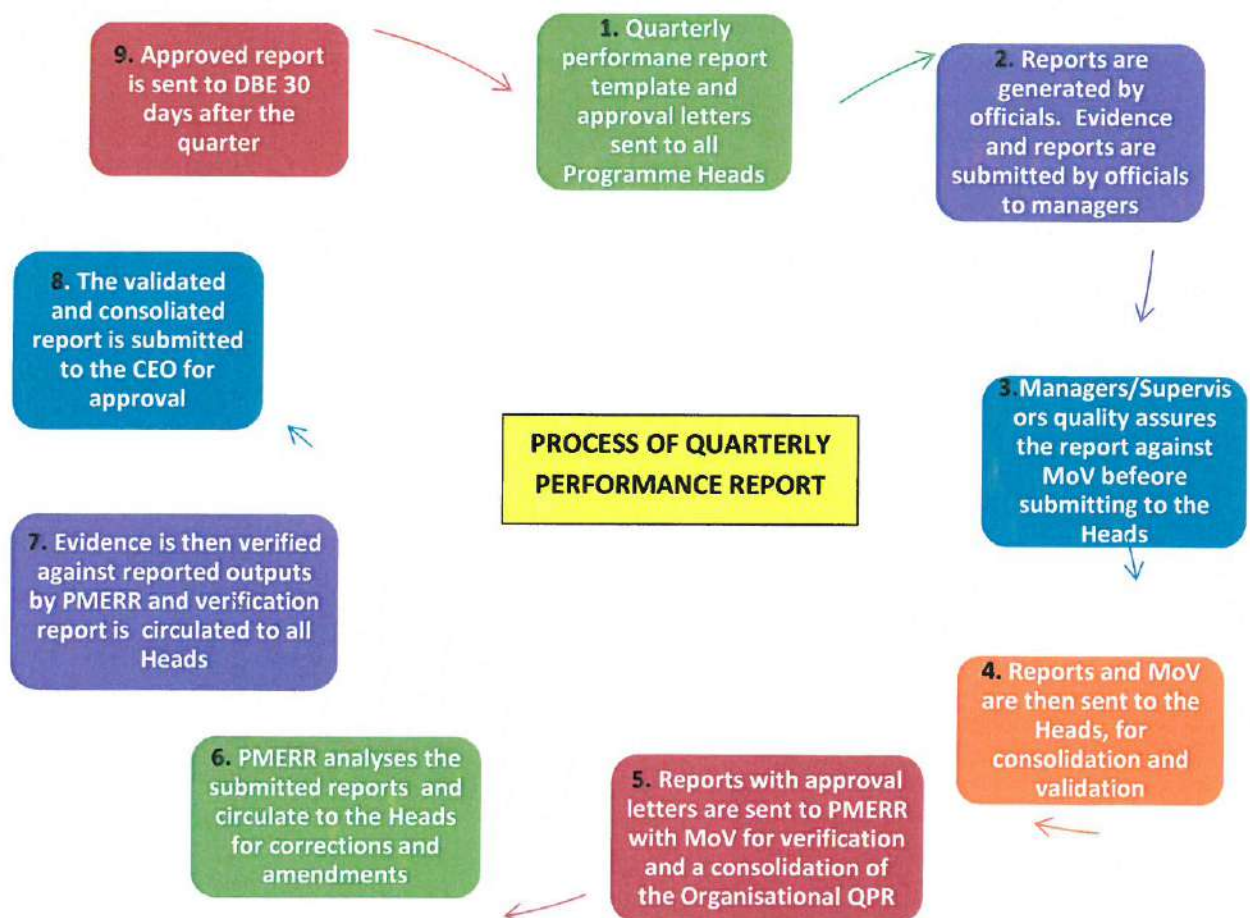


### 7.9 Performance Review

Periodically, the relevant structures in the Organisation will review performance especially once the reports have been finalised. The Senior MANCO, Extended MANCO, EXCO, and all committees are the key management structures that will review Organisational performance. However, each quarter all programmes may conduct performance reviews. The purpose of these reviews include to:

- The measure the outcomes and impacts of implemented programmes or projects;
- Establish the cost effectiveness and efficiency of activities;
- Analyse the performance with budget;
- Identify shortcomings/gaps in the performance of the programme or Organisation;
- Determine whether a programme or project should be expanded, modified or eliminated; and
- Make recommendations for future strategic objectives.

### 7.10 Process Flow Reporting and Validating



## **8 Dissemination of Performance Information**

Apart from the internal use of performance information and its reviews, it is also generated to enable oversight bodies and the public to know how well the Organisation is doing and hold it accountable. Accordingly, once the internal processes are completed and performance reports are finalised such information will be made available through the website of the Organisation and other means to be determined by the Division of Communication.

## **9 Process of Review**

The framework will be reviewed when there is a policy shift in the organisation or within the government sector including DBE and DPME. However, the framework lifespan will be 3 years.

## **10 Conclusion**

The Performance Monitoring and Evaluation Framework 2019-2021 of the South African Council of Educators, represents the document that outlines how the Organisation will carry out PMER. In the future the framework will be improved to cover other essential areas such as the information management systems, capacity building issues, and how to institutionalise M&E in the Organisation.