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Monitoring and Evaluation Framework for the South African Legislative Sector



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ACRONYMS

APP	Annual Performance Plan
AO	Accounting Officer
AoPO	Audit of Predetermined Objectives
AR	Annual Report
ATT	Audit Task Team
DoF	Department of Finance
DNP	Department of National Planning
EA	Executive Authority
ENE	Estimates of National Expenditure
EP	European Parliament
FMPA	Financial Management of Parliament Act
GWME	Government-Wide Monitoring and Evaluation
HR	Human Resources
IAU	Internal Audit Unit
IFAD	International Fund for Agricultural Development
KZN	Kwa-Zulu Natal
M&E	Monitoring and Evaluation
MoF	Ministry of Finance
MP	Member of Parliament
MPL	Member of the Provincial Legislature
PART	Programme Assessment Rating Tool
PFMA	Public Finance Management Act
PP	Public Participation
Q1 / Q2	Quarter 1 / Quarter 2
QPR	Quarterly Performance Report
SALS	South African Legislative Sector
UK	United Kingdom
UNDP	United Nations Development Programme



SECTION A

Introduction and Background

1 Introduction

One of the greatest challenges for any legislature is to become more effective and efficient in delivering on mandate. Global and national developments in Monitoring and Evaluation (M&E) procedures have impacted on the legislative environment, ensuring that it monitors and evaluates its programmes and projects effectively and efficiently. In the South African context, the legislature over and above its legislative role also oversees the work of the Executive and therefore needs to be cognisant of changing management processes that support government in becoming more efficient and effective while delivering on its constitutional mandate.

The evolution of M&E systems in the South African context has strengthened the process by integrating and linking strategic planning, budgeting, programme performance information, statistical data on quality and evaluation results. The thrust for better Monitoring and Evaluation systems also stems from critical events at different political levels. Pronouncements made by the President of the country in the State of the Nation Addresses of 2004, 2005 and 2006 highlighted the need for government organisations to institutionalise M&E.

In a 2008 publication, "Basic Concepts in Monitoring and Evaluation", the Public Service Commission profiled M&E findings of government departments in South Africa and placed these results in the public domain. This report raised public consciousness about the importance and power of M&E processes and motivated stakeholders, including civil society, to hold public institutions accountable.

South African legislatures are facing similar challenges and have been encouraged to develop and implement effective M&E systems which could guide and assist the South African government institutions to successfully deliver on their mandate.

1.1 Contextual Background –International and National Monitoring and Evaluation perspectives

"Over the past 15 years, the majority of OECD¹ governments have sought to shift the emphasis of budgeting and management away from inputs towards a focus on results, measured in the form of outputs and/or outcomes. While the content, pace, and method of implementation of these reforms varies across countries and over time, they share a renewed focus on measurable results.... In the majority of OECD countries, efforts to assess the performance of programmes and ministries are now an accepted normal part of government. Countries follow a variety of different methods to assess performance, including performance measures, evaluations, and benchmarking." (Curristine. 2005: 88-89).

The aforementioned quotation highlights clearly the management paradigm shift that has taken place internationally.

¹ Organisation for Economic Co-operation and Development

Governments and organisations are experiencing enormous pressure to be more responsive to the demands for good governance, accountability and transparency, greater effectiveness and delivery of tangible results by internal and external stakeholders. Stakeholders are no longer interested only in organisational activities and outputs; they are more interested in actual results/outcomes – wanting to know whether government programmes (including policies and projects) have led to the desired results; and how the problems have been identified and corrected. They are keen to establish whether progress could be measured and success or failure be distinguished.

M&E systems have been developed internationally since the early 1980s. The first wave of performance reforms took place concurrently in Canada, New Zealand, US and UK as a result of government reforms.

Although most M&E programmes have been initiated by government departments, there are valuable lessons that the legislative sector can learn from their experiences. Results/Outcomes-based M&E approaches have been developed and extensively employed by a number of international governments for more than three decades. The public sector in Canada, UK, US, Australia, Sri Lanka and numerous European countries places special emphasis on the use of M&E to improve governance, performance outputs and outcomes, which in turn reinforces transparency. Various best-practice lessons to apply have emerged from research recommendations by the aforementioned countries, some of which are discussed later in this document.

In Latin America, the governments of at least 20 countries have been working continuously to strengthen their M&E systems. One prevalent influence on these governments is the demonstrated effect provided by these countries, including Chile, Colombia, Mexico and Brazil, with relatively advanced M&E systems.

In 1994 the Ministry of Finance (MoF) in Chile developed a whole-of-government M&E system which focuses on rigorous evaluation projects. The MoF commissions extended the evaluations to academics and consulting firms, and it uses standardised Terms of Reference and methodologies for each type of evaluation. The M&E findings are then used extensively in the budget analysis of the performance of each ministry to serve as an input into the government's budget decision making.

In Colombia, the government's results-based M&E system, SINERGIA, which has been refined over the last twenty years, is managed by the Department of National Planning (DNP). The DNP has advanced substantially the use of results to inform decision-making, particularly in the President's office, but also in respect of some line ministries. The effort has successfully strengthened the formal accountability to national programmes and sector policies.

One of the main components of the M&E system is a performance-information database, containing about 500 performance indicators to track the government's performance against all presidential goals. For each performance indicator, the publicly-available database records the objective, the strategy on how to achieve the objective, baseline performance, annual targets and the budget spent by government.

Where performance targets are not met, the manager responsible is required to prepare a statement explaining this underperformance. The president uses this information in his monthly management-control meetings with each minister and his weekly town-hall meetings around the country.

Mexico: In Mexico M&E implementation is complemented by parliamentary budget oversight, through the Federal Supreme Audit which conducts performance audits to assess programme progress in meeting objectives and goals. It generates binding recommendations for programmes to improve government results, but there is still a need to strengthen its follow-up mechanism or system.

The United Kingdom: In 1998 a system of performance targets were created and included in the Public Sector Agreements between the Treasury and each of the 18 main departments. These agreements state the department's overall goal, the priority objectives and key performance targets. Twice per annum departments report publicly on the number of evaluations as an input to budget decision making. Spending priorities, expenditure ceilings, and the related performance targets are established in a system of three-year spending reviews. Departments also use the performance information derived from the Public Sector Agreements (National UK Audit Office) for their internal planning and accountability.

In **Eastern Europe** an additional influence is seen whereby countries that have joined the European Union (or are candidates for joining) are required to strengthen their M&E systems. This requirement provides further impetus to the M&E trend.

The United States: In its effort to improve on the methods to measure government performance, the US government created the Program Assessment Rating Tool (PART). Currently all government programmes are rated using the PART methodology, focusing on four aspects of programme performance: (i) clarity of the programme objectives and design; (ii) quality of strategic planning and extent of focus on programme targets; (iii) effectiveness of programme management; and (iv) actual programme results achieved.

PART ratings are requirements that must be used by departments in their annual budget funding requests, highlighting the importance of PART ratings and recommendations. PART ratings are used to agree on the effectiveness of existing measures or to impose performance-improvement requirements on departments. This process has stimulated departments' interest in budget performance information.

In the late 1980s **Australia** created a whole-of-government evaluation system, managed by the Department of Finance (DoF) that supports evidence-based decision-making and performance-based budgeting. All ministries are required to evaluate each of their programmes every three to five years and prepare portfolio evaluation plans. The evaluations are conducted by the line ministries themselves, but overviewed by the Department of Finance. A main use of these evaluations is in the annual budget process where each spending proposal is presented and the evaluation findings on the actual or likely performance is specified.

The DoF estimated that by 1994, almost 80% of new spending proposals relied on evaluation findings. It was discovered that line departments also used this information intensively to assist themselves improve their operational efficiency. Their M&E system (in existence from 1987–1997) was considered to be one of the most successful systems driven by the federal Department of Finance.

Canada: The Canadian government requires from each department (i) an annual and multi-year evaluation plan, reflecting risks and priorities; (ii) the establishment of senior-level evaluation committees; (iii) to request funding for evaluation 'appropriate' to the needs/size of the department; and (iv) to post evaluation reports on the web.

The South African Legislative Sector (SALS) can gain much knowledge from the lessons Canada has learned over the 30 years of M&E experience. Important aspects include the following:

- Building and using M&E capacity requires more than resources and technical skills – it requires political will and sustained commitment. Central leadership and a plan are very important;
- M&E information is not an end in itself – it needs to be linked to particular management and decision-making roles;
- Performance reporting should happen at different levels – programme; project; unit, section, department, sector;
- The need to build capacity 'to do' evaluation (and gather performance information) must be present, plus the capacity to use M&E information;

- Acknowledgement that mechanisms, communication, vehicles and robust M&E fora should link the demand for and supply of M&E information, to ensure that 'what gets produced' is 'what is needed' and delivered in a timely manner;
- Oversight by the national audit office is very important to give broad and public exposure of how well the M&E system is being implemented.

Canada adopted a general philosophy of 'try, adapt, learn and adjust.' They recognised that one size does not fit all. They therefore allow for flexibility in the implementation of M&E systems. Departments annually report the M&E information directly to the Legislature. Further information/queries are referred to parliamentary committees and addressed at this level.

Sri Lanka: Kabir Hashim, an MP from Sri Lanka, in a paper called 'Use of Evaluation in Parliament and the need to strengthen it', discusses the importance of managing for development results. He cites the Sri Lankan Parliament as the key institution that enables the country to monitor and evaluate its development goals. Hashim also identifies parliamentary M&E mechanisms to include Oversight Committees. This Framework therefore proposes the work of Oversight Committees as a practical M&E option for the SALS to consider, given the adoption, customisation and implementation of the Sector Oversight Model (SOM) by a number of provincial legislatures in 2013.

In **Africa** emerging oversight practices by parliament are evident where strong presidencies (Ghana, Uganda, and Kenya) exist. Although performance M&E systems are often donor-led in these countries, they have evolved into interesting government practices through the involvement of the Executive in Rwanda, Uganda, Ghana and Kenya.

The International Fund for Agricultural Development's (IFADs) Regional Programme to Strengthen Managing for Impact in Eastern and Southern Africa (i.e. Kenya, South Africa, Ethiopia & Tanzania), was rolled out in 2008. It included one of IFAD's main activities; that of developing a participatory monitoring and evaluation system with an IFAD-funded project in Zanzibar as an action learning site. The previous M&E system was very much focused on a quantitative data Management Information System, whilst the new system also includes more qualitative data and processes of critical reflection at the level of farmers, district and programme.

On a recent study visit (June – July 2011) by the South African Department of Performance Monitoring and Evaluation (DPME) to Mexico, Colombia, Brazil and the US, the study group gathered valuable information on what is working and not working when implementing M&E systems. The results gained from these visits are apparent in the policy frameworks and guidelines developed by the DPME.

The most important lessons the South African delegation learned from M&E systems at government departments internationally, include: (i) the need to synergise M&E across programmes and projects; (ii) the negative influence a lack of strong enabling legislation and regulatory frameworks has for planning and M&E; (iii) the need for a clear definition of institutional arrangements (to avoid overlaps, especially in transversal issues); (iv) the necessity to standardise programmes, using rules of operation; (v) the need to guard against identifying too many indicators and (vi) to report quarterly on a limited range of indicators.

The South African government's (DPME) response was to initiate the development and drive the implementation of an enhanced outcomes-based monitoring and evaluation framework for all the government departments which would demonstrate tangible outcomes. Implementation of evaluation plans was fast-tracked resulting in scientifically-based evaluation projects executed with high-level evaluation reports which were published. The aim of these reports is to guide future planning by addressing anomalies and highlighting outcomes.

Desktop research has revealed that very few international Parliaments/Legislatures have actually conceptualised, developed

and implemented M&E strategies and plans. Most Legislatures internationally follow Treasury or Department of Finance guidelines to report on their Programme Performance, but unfortunately the template provided is limited to listing outputs. At a meeting of the member states of National Parliaments in the Council of European Countries, they agreed to embark on 'self-evaluation', a process which is aimed at measuring the democratic performance of all its Parliaments. The Council of European Countries has subsequently resolved to improve the quality of parliamentary inputs and outputs in order to make all parliaments' functioning more effective and efficient.

By implementing this decision, the European Parliament has indicated that it realises that their current assessment frameworks have the potential to be immensely powerful tools for change and have concluded that the effectiveness of such assessments should be judged against the 'outcomes that emerge', not only in terms of parliament becoming more representative, transparent, accessible, accountable and effective, but also in terms of improved economic and social development.

The European Parliament's (EP's) approach is in line with a number of parliaments world-wide where legislatures more and more utilise oversight mechanisms to monitor and evaluate their core function outputs. The EP's approach differs in that it recommends that assessment results be judged against the outcomes that emerge. This document proposes that South African legislatures replicate the EP approach.

These valuable learning experiences should motivate the South African Legislative Sector (SALS) to emulate the aforementioned best-practice examples (as reflected in the legislative environment and/or adapt those used in government departments). The SALS will only benefit if it takes these international lessons into account when developing its M&E Strategy and Plan.

1.2 Context of Monitoring and Evaluation within the South African Legislative Sector (SALS) – Key Issues

In the context of the South African legislative sector, the Administration led by the Speaker of the Legislature, and the Secretary to the Legislature (as the Accounting Officer), appears before the Rules Committee or Legislature Board for the assessment of the legislature's Quarterly and Annual Reports. Legislatures generally comply with the prescribed FMPA / PFMA (whichever Act is relevant) requirements, but do not necessarily verify the reported results/outcomes. Investigations indicate a culture of monitoring merely for reporting purposes, because most of the information is not being utilised to inform performance improvements.

Large-scale evaluation projects have generally been neglected in the SALS. The few programme evaluation studies which have been embarked upon appear to lack enough substance to indicate the results/outcomes or impact of programmes on programme development, civil society and the country at large. It is, however, acknowledged that impact studies are long-term projects, usually executed at the end of a term, say at least 5 years, or ideally after 10–20 years, which effectively gauge the impact of interventions on community and civil society, at large.

Small-scale evaluations, done by only a few legislatures, were generally not geared to measure results/outcomes or impact. Hence the call to all legislatures to reflect on their current performance programmes and M&E processes, so as to embrace a system which also reveals the impact of their programmes within the organisation and on civil society.

The Financial Management of Parliament Act (FMPA) (2009) requires all legislative institutions to have an M&E function, as they (legislatures) are audited on their programme performance (non-financial) and budget (financial) performance. Although all legislatures comply with this requirement of managing programme performance information, and therefore incorporating an M&E function, most legislatures lack appropriate M&E systems. This situation is one of the reasons why there is currently no common approach to M&E in the SALS.

One of the most disturbing factors for the SALS is the regressive audit reports which a number of legislatures received for the 2011/12 financial year. According to the Consolidated General Report on National and Provincial Audit Outcomes of 2011–12, the overall audit outcomes of the legislature cluster regressed, with the legislatures of the Eastern Cape, Gauteng and Kwa-Zulu Natal regressing from clean audit outcomes to “financially unqualified”, with findings on Predetermined Objectives (PDOs) and/or compliance with laws. The performance information of four legislatures (2010–11:3) did not meet all the criteria for usefulness, while the information of three (2010–11:2) was not reliable.

The report also states that indicators are not well-defined or verifiable and there was no consistency between planned and reported objectives/targets. Performance could not be measured for some of the targets relevant to sub-programmes. The report further highlights the importance of effective development and planning of M&E indicators and the continuous monitoring of the measurable objectives/targets.

Planning and Budgeting: According to the Financial Management of Parliament Act (FMPA) (2009;(3) (13–15)), the Executive Authority (EA) must oversee the preparation of Parliament’s strategic plan, annual performance plan, budget and adjustments budget and table the strategic plan and annual performance plan in the House (applicable to all other legislatures once the Amended FMPA has been assented to). Timeframes for the development and tabling of these documents are stated in the FMPA.

Reporting and Auditing: The following sections extracted from the FMPA must be adhered to by the SALS. Ss 51(1);52);53);54) of the FMPA, 2009 stipulate monthly financial statements; quarterly performance reports; mid-year budgets and performance assessments as compulsory elements of the In-Year Reporting.

Monthly Reports: Within 15 days after the end of each month, the Accounting Officer (AO) must submit a monthly report to the EA and the National Treasury in a format determined by the EA, reflecting the state of the Legislature’s finances for that month and for the financial year to date.

Quarterly performance reports: Within 30 days after the end of each quarter, the AO must report to the EA on the Legislature’s performance at implementing the APP in that quarter.

Mid-year performance report: Before 31 October of each year, the AO must submit to the EA a report that assesses the performance of legislature’s administration during the first half of the financial year, taking into account:

- (a) the monthly statements for the first half of the financial year, referred to in section 51;
- (b) the previous year’s annual report and any progress on resolving problems identified in the report; and
- (c) performance in implementing the annual performance plan.

In the mid-year report the AO must:

- (a) recommend whether an adjustments budget may be necessary; and
- (b) revise projections for revenue and expenditure to the extent that this may be necessary (S 53, FMPA).

Annual Reports: For each financial year, the AO must prepare an annual report which provides an accurate record of the activities of the Legislature’s administration during the financial year to which the report relates; a report on performance of the legislature’s administration and financial statements for the relevant financial year as submitted to the AG. The annual report must be based on the Annual Performance Plan (APP). It is reported that all legislatures comply with the abovementioned reporting requirements, an indication that they have an M&E function; however, it is not necessarily effectively systemised.

According to the Report & Code on Corporate Governance for South Africa, 2009 (King 111), good governance principles require, amongst others, the establishment and effective functioning of Internal Audit Units (IAUs). These IAUs embark on regular audit processes, according to the level of risk identified. IAUs also assist the independently appointed Audit Committee to make audit recommendations to the AO.

The Audit Task Team (ATT): To streamline the process, AOs at a number of legislatures have established ATTs consisting of Senior Management staff.

- The ATT liaises with the Auditor General's (AG) team. It is the ATT's responsibility to scrutinise the draft engagement letter from the AG and, once it has been accepted, to advise accordingly.
- The ATT also deals with management responses to the Request for Information (RFI) from the AG. Once this RFI period is completed, the AG issues the draft management letter which is then scrutinised by the ATT responsible for verifying what has been resolved and responds to the AG accordingly. The AG then issues the Final Management letter to the AO, and this letter is included in the Annual Report.
- This process up to the final management letter, describes a typical monitoring process, where the IAU (through the ATT) executes a significant role in ensuring that programmes and processes are strictly adhered to. The final management letter represents the evaluation of the programmes, processes and systems utilised.
- Besides these processes, the standard M&E processes include on-going management practices, e.g. reporting on a monthly, quarterly and annual basis. As described elsewhere in this document, monthly reports are considered a form of monitoring to track progress or lack thereof. Quarterly reports should be utilised as monitoring and review tools, depending on the focus of management, when analysing the documents.
- The Legislature Board / Rules Committee scrutinises and analyses the Quarterly Performance Reports and vigorously addresses areas of under/non-performance by calling the Speaker and Legislature management team to account at pre-determined engagement occasions. The Annual Report, because it reports against a background of predetermined annual objectives and targets, and the content thereof is scrutinised and debated in the House, is an example of evaluation of the outputs (results) of the programmes embarked upon by the Legislature.

Monitoring and Evaluation as emerging Higher Order Management Processes:

M&E are considered as higher order management processes which should be utilised to achieve institutional results and meet specific targets for management action and decision-making. One of the fundamental roles of all managers is to manage performance. However, M&E is not – and cannot be – a substitute for good management. For M&E to succeed, it needs to be driven by managers' needs for information; their use of the information and their desire to create a learning environment. M&E in any programme or project will as a result only ever be as good as the quality of overall management. M&E is therefore indispensable for good management. This Framework presents how M&E can fulfil this function.

Programme performance management is often equated to performance monitoring because this information is used by decision-makers to form judgements about the value for money being generated through programmes. This is, however, only one aspect of M&E as a management function which should, in principle, be the responsibility of all managers in charge of reporting on issues related to their areas of work.

When considering M&E from this perspective, all legislatures are currently performing some sort of M&E; some more systematic and detailed than others. Compiling information, monitoring, evaluating and submitting monthly, quarterly and annual reports form part of each institution's management of programme performance (M&E actions), required during the different planning cycles. M&E are standard management processes that are imperatives for achieving institutional and

project success. It is therefore proposed that M&E should be included in all Managers' Performance Agreements as one of their key performance areas.

Lack of Common Approach:

Because M&E is an emerging management function, even though three M&E Units have been established in the SALS, very few M&E systems and policy documents have been developed. In the case of the three already compliant legislatures, templates have been developed which address aspects of planned inputs, expected outputs and actual outputs. Other legislatures follow the same model of reporting, as this template is in many ways similar to that prescribed by National Treasury.

However, the M&E functions are in many instances a case of 'malicious compliance' as M&E practitioners are occasionally appointed on an ad-hoc basis as the need arises and therefore not necessarily committed to execute all the processes of M&E. This gives rise to a poor M&E organisational culture because tasks are executed by merely 'ticking the boxes'. Given this resource scenario, and in the absence of a common framework to guide legislatures, it becomes clear that there are many different approaches to M&E in the SALS. The status quo report also reveals the lack of knowledge regarding the importance and role of M&E. This Framework is an attempt to address this shortcoming.

Complementary Functions of Monitoring and Evaluation:

It is important to recognize that the concepts 'monitoring' and 'evaluation' are distinct, yet complementary in nature. Monitoring, as an on-going process, supplies information on where a project is at any given time, relative to respective targets and outcomes. Evaluation, on the other hand, periodically gives evidence of why intended results (targets/milestones) have or have not been achieved by seeking to address the causes. It is therefore an important source of evidence regarding the achievement of results and institutional performance. Evaluation is also a significant contributor to building knowledge and organisational learning; and acts as an important agent of change by playing a critical and credible role in supporting accountability.

The Emerging Status of Monitoring and Evaluation in the SALS:

Because M&E is still in an emerging state at most of the South African legislatures, the Framework does not attempt to be prescriptive, but recognises that each legislature has the discretion to institutionalise an M&E function and system that will be compatible with its current management processes. The Framework also takes into account the divergent and unequal M&E capacities at the legislatures and proposes minimal restructuring of current practices to accommodate the M&E system.

Current challenges with Monitoring and Evaluation in the SALS:

A recent M&E status quo report indicated very little advancements within the SALS. There is generally an absence of a strong M&E culture in the SALS, with M&E being erroneously viewed as a policing and controlling function, rather than a continuous improvement function. There is commonly limited appreciation of the importance of managers themselves monitoring and evaluating their own work. Internal monitoring involves managers setting performance targets for their programmes, measuring performance against targets, analysing the reasons for poor performance and introducing changes to their programmes to improve performance.

In practice the dominant culture is one of compliance rather than one based on learning and improvement. Identified problems are generally not treated as opportunities for learning and improvement. Very few evaluations of any of the SALS major programmes are planned and conducted according to a schedule, which indicates that M&E is only applied sporadically and not adequately informing planning, policy-making and budgeting.

However, given the nature of performance reporting at all legislatures, it is clear that all legislatures have an M&E function,

although proper M&E systems are lacking in most cases. According to the status quo report, only two legislatures have developed M&E “policy” documents, with most of the remaining legislatures depending on the FMPA (or interim provincial Acts with some focus on financial management) or National Treasury templates which guide them in the M&E process. One legislature developed its own templates and uses this as a policy guide during M&E implementation and the AG’s evaluation process.

In the survey many M&E managers cited as a problem the lack of a common guiding framework to harmonise M&E concepts and practices across the SALS. This Framework therefore aims to clarify M&E challenges in the SALS and seeks to ensure that there is a close relationship between planning, budgeting and M&E. It provides guidance for strengthening current M&E practices, so that M&E is not merely a compliance exercise, but ensures that it is used to improve performance and increase accountability.

Two-pronged Approach to Monitoring and Evaluation:

Legislatures are uniquely composed of politicians (MP/MPLs) and officials as support staff. This composition necessitates the institution to embrace a two-fold function, i.e. a political and administrative function, as mandated in Sections 4 & 6 of the Constitution of the RSA (1996).

In order to respond effectively and efficiently to this mandate, MP/MPLs require administrative support. Officials, however, are not politicians and have a different mandate determined by the Strategic Plan of the Legislature. Officials apply for a job and, through the recruitment and selection process of the Legislature, are offered positions as civil servants. MP/MPLs, on the other hand, are elected by the voting public, therefore represent civil society in the decisions made at legislative level.

This places the Legislature (as an institution) in the situation where it has to respond to two main thrusts, i.e. (i) “Core” (political) and (ii) “Support” (administrative) function. In terms of its core business processes, the House and its Committees are the key structures where the work of the Legislature is processed.

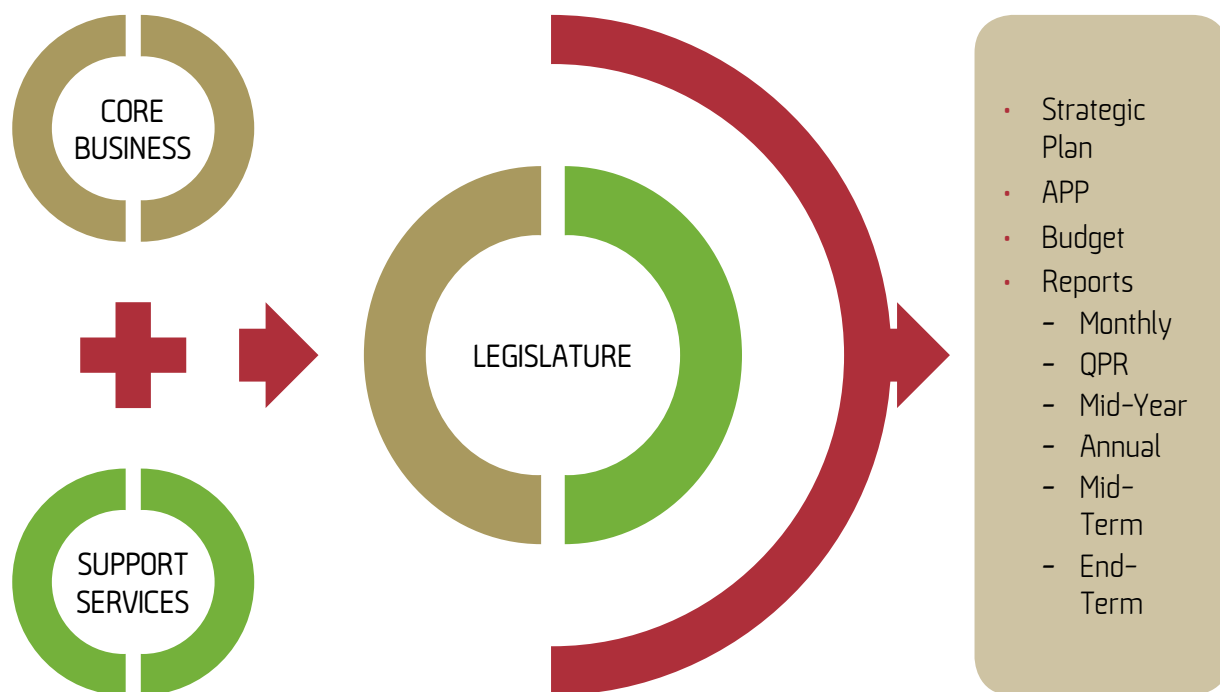
All legislatures comply with monitoring and evaluation of the “administrative” function through the reporting requirements identified earlier; but the M&E of the “core” function remains a challenge because of its political flavour. Currently, only two Legislatures have successfully implemented the M&E of the core function. This situation is what the SALS should be striving for, but at the same time this Framework would also like to caution Legislatures that have not taken M&E on board as yet, to start by taking baby steps in the conceptualisation and implementation of M&E.

At this stage Legislatures are encouraged, first and foremost, to embark only on the M&E of the administrative function. Once this M&E function and system have been fully established in the organisation, it may be advisable to proceed to monitor and evaluate the ‘Core’ function. It is important to recognise that (i) the ‘support’ function is supported by an M&E system (taking the FMPA / or PFMA directive into account) and (ii) ‘Core’ function, in a parallel M&E process, is dealt with by means of an ‘Annual Oversight Plan’ which has to be developed and approved by all Members. So, in order to establish the M&E of the Core function, officials must collaborate with all Members to identify the key priorities of the Country and relevant Province. Committees should then collectively develop an annual oversight plan, with Members agreeing in principle to this contract.

The KZN Legislature has, after many years of experimenting, successfully introduced the M&E of the Core function. Should your Legislature be in the position where it is ready to take this step, you are encouraged to engage with them and learn from their experience. Keep in mind though, that you first have to develop an effective M&E system and master the ‘support’ (administrative) M&E function effectively and efficiently before you can graduate to the next step.

The diagram 1 (on the next page) illustrates the composition of the legislature and draws attention to the fact that it consists of

(i) politicians (elected public representatives) and (ii) officials (who applied for jobs, were interviewed, selected and appointed into specific positions).



Parliament of the RSA – Unpublished diagram 2013 – adapted

The officials, as support staff to all Members, including Committees, are responsible for planning, together with MP/ MPLs, the execution of the Legislature’s Constitutional mandate. This is achieved by analysing the key priorities and other policy documents of the ruling party, and supporting the implementation of strategically-aligned programmes through its administrative duties. These plans are guided by political input, i.e. the State of the Nation Address and the State of the Province Address. Key priorities find expression in the five year strategic plan of the Legislature, from which the Annual Performance Plan (APP) is derived. The APP informs the size of the budget; hence financial and programme performance reporting is required on a monthly, quarterly, mid-year, annual, mid-term and end-of-term basis (see FMPA for further guidelines).

Officials are employed by the legislature to support the MP/MPLs in delivering on their mandate and cannot make decisions on behalf of the MP/MPLs. Oversight programmes are developed and executed by MP/MPLs with the administrative support structure in place, but it remains a political activity – from decision-making to execution. This situation therefore calls for a special methodology – some form of collaborative approach where members ‘contract’ with committees on their oversight plan for the year. The Chief Whip and Committee Chairpersons play important roles in establishing the oversight programme per Committee and are also responsible for politically driving the process.

This approach is in line with the Sector Oversight Model (SOM) and serves to break down a few of the silos that have developed when designing programmes in legislatures. The strategic outcomes-oriented goals and indicators, identified during strategic planning, should be in line with that of the M&E plan. Therefore, in order for M&E to be successfully executed,

there should be a close working relationship between the Administration (Committees) and MP/MPLs, as they need to agree on specific performance outcomes and performance indicators.

Because this Framework is not prescriptive in nature, it proposes that legislatures should embark on this two-pronged approach to M&E only in cases where the necessary capacity exists.

The Role of other applicable government policies and the AG:

The review of the sector M&E Framework is primarily informed by, amongst others, the legislative mandate and evolving policy priorities within the legislative sector. However, cognisance must be taken of the Public Audit Act, (2004), which unequivocally states, in terms of sections 4(1), that the AG must audit and report on the accounts, financial statements and financial management of the administration of Parliament and of each provincial Legislature (s 4(1)(c)). In addition, National Treasury's Framework for Strategic Plans and Annual Performance Plans (August 2010) are applicable to all national and provincial departments, constitutional institutions and... in terms of the mandates set out in section 215 and 216 of the Constitution.

In this Framework legislative institutions are required to develop during the planning phase Strategic Outcomes Oriented Goals, which should focus on outcomes and impacts (results).

1.3 Scope and applicability of the Framework

This Framework is applicable to all Legislative institutions in the Republic of South Africa. It is, however, not prescriptive in nature, but seeks to set minimum standards for effective M&E functioning through implementing applicable M&E systems in the SALS.

1.4 Rationale for the Framework

Given the current status of M&E in the Legislative Sector, the requirements of the FMPA (2009) and any other relevant provincial Act (or in exceptional instances in some provinces, National Treasury Guidelines), including the call by stakeholders for legislatures to improve their performance continuously, it is essential for legislatures to adopt an M&E approach. This approach should particularly address the management of public funds, the stewardship of public assets, and the effective and efficient management of available information on programme performance. Once legislatures have taken the bold step to embrace M&E as a management tool, it is proposed that legislatures introduce and customise the basic tenets of this Framework, as these processes are aligned to accepted principles of good governance.

Whilst programme performance is being monitored regularly through compliance with the FMPA (or other relevant guidelines) for the effective development and implementation of Strategic Plans and Annual Performance Plans, very little or no attention is paid to evaluation; very little or no in-depth evidence is generated for improving performance and decision-making and there is generally a lack of focus on areas where there is under-performance. Managers should note that by concealing poor performance they are being counter-productive. They should insist on carrying out regular scheduled programme evaluations, as these results will provide opportunities to identify ways in which to address, amongst others, under-performance.

In developing this Framework, the following guiding aspects were taken into account.

- This Framework should seek to create a common understanding of the minimum standards which the individual M&E strategies of legislative institutions should meet.

- Individual legislative institutions should use this Framework to customise their own M&E strategies to suit their particular legislative context, but are encouraged, over time, to meet the basic criteria illustrated in this Framework. Where legislative institutions have special contextual circumstances or policy emphases, they should add these elements to their M&E strategies so as to reflect them.
- This Framework therefore outlines a comprehensive, generic approach, customisable by the individual legislative body to balance consistency and common standards with flexibility in implementation (taking into consideration the varying contexts and capacities).

1.5 Purpose of the Framework

In order to achieve the key objectives of M&E, each legislative body needs an M&E strategy and plan. They may have different emphases regarding their strategies and plans, depending on the state of maturity of the established M&E systems at the specific legislature. However, the overall purpose of the M&E Framework is to:

- Propose a legislative-sector approach to M&E which promotes ease of implementation, continuous improvement in performance and increased accountability. It clarifies the M&E practices that need to be implemented and how to institutionalise them;
- Provide a reliable and credible mechanism to evaluate the legislative institution's progress against the delivery objectives outlined in its strategic plan, annual performance plan and other policy documents to demonstrate tangible results/outcomes;
- Promote greater accountability and transparency to internal and external stakeholders through the dissemination of accurate, timely and relevant information;
- Ensure the effective and efficient use of institutional and legislative sector resources in support of people-centred democracy, effective law-making and oversight;
- Create an outcomes/results-oriented organisational culture which is open to critical self-reflection, continuous learning and innovation;
- Coordinate and standardise processes and data standards for M&E across the entire legislative body, in order to ensure that information can be consolidated to provide an overall view of institutional performance;
- Build a demand for M&E insights, follow-up action on M&E findings and capacity of evaluation;
- Ensure compliance with all statutory reporting requirements for programme performance information, as well as laying the foundations for audits of non-financial information;
- Generate knowledge about what works and does not work. This should bring about the development of applicable new theories and models;
- Provide a context for the future development of additional guidelines that will be used to further enhance M&E in the SALS.

1.6 Legislative and Policy Imperatives

The following relevant Acts and policy documents form the basis for monitoring and evaluation (M&E) in the Legislative Sector:

1.6.1 Legislative imperatives

- 1.6.1.1 **The South African Constitution (Act 108 of 1996)** defines the mandate of Parliament and furthermore requires Parliament to, amongst others, demonstrate transparency, accountability, effectiveness and efficiency, and promote good governance. It is within the context of Co-operative Government and separation of powers (Chapter 3 of the Constitution of the RSA) that legislatures are encouraged to take cognisance of the policies and frameworks developed and distributed by government departments, such as DPME, DPSA and National Treasury and their effect on M&E and other related aspects.
- 1.6.1.2 **Separation of Powers** is a doctrine which holds that each of the three functions of government, viz. legislation, execution and adjudication should be entrusted to a separate branch of government (i.e. the legislature, the executive and the judiciary respectively). The purpose of this 'fragmentation' is evidently to defend liberty and keep tyranny at bay. It demands independence in that there should be no overlap of personnel between the branches. But it also relies on interdependence. This principle is reflected by the Constitution separating Parliament, the President and national executive and the courts of law. In the provincial sphere, the Legislature is separate from the executive comprising of the Premier and the MECs (Roles and Responsibilities of Presiding Officers and Chief Whips of Legislatures, EU Publication, p 6).
- 1.6.1.3 **The Financial Management of Parliament Act** (FMPA, Act No. 10 of 2009), which aligns the activities of Parliament (and the Provincial Legislatures with the promulgation of the Amendment Act after September 2013) with spending and as a result defines how institutional planning, performance improvement, and reporting should be done. The FMPA (2009) 'regulates the financial management of Parliament in a manner consistent with its status in terms of the Constitution and to provide for matters connected therewith'. As a result of the Concourt judgement ruling all Provincial Finance Acts unconstitutional, the FMPA currently is being amended to incorporate all Provincial Legislatures².
- 1.6.1.4 **Money Bills Amendment Procedure and Related Matters Act, 2009** (Act No. 9 of 2009), which provides for a procedure to amend money Bills before Parliament and for setting norms and standards for money Bills and related matters before provincial legislatures.
- 1.6.1.5 **Public Audit Act, 2004**: In terms of sections 4(1)(c) the AG must audit and report on the accounts, financial statements and financial management of the Administration of Parliament and of each Provincial Legislature. The aim of an audit of predetermined objectives (AoPO) is to enable the auditor to conclude whether the reported performance, measured against pre-determined objectives and based on predetermined criteria, is reliable, accurate and complete in all material respects.

An additional selection of government departments' policy frameworks has been included, as some chapters may also be relevant to the Legislative Sector.

²The Court has suspended the declarations of invalidity for a period of 18 months, as an immediate declaration of invalidity would have resulted in a legislative lacuna which would have negatively impacted the interests of good governance. The parties had been ordered to file a report by 9 September 2013 to inform the Court as to the steps they have taken to remedy the defect. The Finance Standing Committee at Parliament called for submissions on the Financial Management of Parliament Amendment Bill [B-2013] [2]. The Bill aims, amongst other objectives, to amend the FMPA (2009) so as to be able to deal with the financial management of provincial legislatures and delete certain references to 'provincial legislatures' in the PFMA(1999); and also to provide for matters connected therewith. The new Act should apply to provincial legislatures, as referred to in section 104 of the Constitution of the RSA (1996). Provincial legislatures must address these aspects in their M&E strategy as soon as the Financial Management of Parliament Amendment Act has been endorsed by the President of the RSA.

1.6.2 Policy Frameworks

- 1.6.2.1 **National Treasury Framework for Managing Programme Performance Information** (May, 2007): This framework defines important concepts regarding managing performance information. Performance information is also defined as the available data pertaining to effective management, including planning, budgeting and implementation, monitoring and reporting. Performance information facilitates effective accountability which enables legislators, members of the public and other interested parties to track progress, identify the scope for improvement and better understand the issues involved. Most importantly this framework defines roles and responsibilities in managing performance information;
- 1.6.2.2 **Policy Framework for Government-wide Monitoring and Evaluation** (November 2007): This is an overarching policy framework for monitoring and evaluation of all arms of government in South Africa. It seeks to establish a system that will provide reliable information on the implementation of government programmes, facilitate analysis of government performance and improve M&E practices. Although this particular policy framework indicates that it is applicable to all arms of government, it is silent on Provincial Legislatures; hence the development of this Framework;
- 1.6.2.3 **Strategic Intent for Parliament. Policy Imperatives 2009–2014** (October 2009): Under subheading 2.1 “Strategic overview and Key Policy Developments”, specific key issues which inform the work and policy direction of the 4th Parliament were identified. One of the strategic priorities identified, is the need to strengthen the oversight function and establish a strong culture of overseeing executive action (2.2.b) which produced the project “Development of monitoring and evaluation mechanism”. Parliament therefore acknowledges it must ensure that information regarding monitoring and evaluation of the functions of the executive is regularly executed and available;
- 1.6.2.4 **National Evaluation Policy Framework (2011)**: This policy framework was published by the Presidency in November 2011. It seeks to address the use of evaluation to promote improved impact of government programmes, at the same time increasing transparency and accountability. The framework aims to place in the foreground the importance of evaluation in policy-making and management, and link evaluation to planning and budgeting processes. It also aims to improve the quality of evaluations and ensure that evaluation findings are utilised to improve performance. The document’s main target audience is political principals, managers and staff in government;
- 1.6.2.5 **Sector Oversight Model (2011)** is a framework that describes how legislatures should conduct oversight. The model defines, amongst others: 1) the values and principles according to which the Legislature conducts oversight; 2) the mechanism or framework to be used for conducting oversight; and 3) the processes and resources required for conducting oversight;
- 1.6.2.6 **Management Performance Assessment Tool (MPAT)** of October 2011 focuses on management performance, not service delivery performance, and complements Treasury’s Financial Management Capability and Maturity Model which focuses on self-assessment and peer moderation.
- 1.6.2.7 **Draft Capacity Development Strategy for Public Financial Management** of 31 January 2013, prioritises capacity development as a strategy to overcome a complex array of challenges and transform public financial management. Volatility and imbalances in the world economy, stemming from the global financial crisis, have placed governments everywhere under enormous fiscal pressure. The strategy sets out a sustainable national intervention looking at ways to overcome the challenges facing local government, provincial and national departments. Improving public financial management will require a government-wide transformation of people, processes and systems.



SECTION B

Understanding Monitoring and Evaluation

2 Understanding Monitoring and Evaluation

There are many ways in which the concept monitoring and evaluation can be described. In order to cultivate understanding of and have clarity regarding these terms within the context of the SALS, it is necessary from the onset to clarify the meaning of M&E, as it would also be deemed the first step towards the institutionalisation of M&E.

Although the term 'Monitoring & Evaluation' has a propensity to be interpreted as if it refers to a single activity, it actually categorises two distinct, albeit closely related, sets of data- gathering practices. The distinction between monitoring and evaluation is primarily one of analytical depth. Whereas monitoring may be nothing more than a simple recording of activities and results against plans and budgets, evaluation probes deeper. Although monitoring usually signals failures to reach targets and other problems to be tackled along the way, it can generally not explain why a particular problem has arisen or why a particular outcome has occurred or failed to occur.

Commonly, the concept 'monitoring and evaluation' is viewed as participatory democratic processes for examining the values, progress, constraints and achievements of programmes and projects. In the next paragraphs an attempt is made to explain in more detail the difference between monitoring and evaluation.

2.1 What is Monitoring?

Although literature provides numerous 'useful' definitions of monitoring, it was collectively decided to use the one coined in the Policy Framework for the Government Wide Monitoring and Evaluation (GwME) System (November 2007). In this SALS M&E Framework, the term "monitoring" is therefore defined as follows:

Monitoring involves collecting, analysing, and reporting data on inputs, activities, outputs, outcomes and impacts, as well as external factors, in a way that supports effective management. Monitoring aims to provide managers, decision makers and other stakeholders with regular feedback on progress in programme/project implementation and results and is an early indicator of problems that need to be corrected. It usually reports on actual performance against what was planned or expected.

Monitoring is the systematic collection and analysis of information as the programme/project progresses. It also aims to assure the following results /outcomes:

- Improve the efficiency and effectiveness of the project or organisation;

- It is based on targets set and activities planned;
- It helps to keep the work on track and inform management when things are going wrong;
- It enables the organisation to determine whether the resources available are sufficient and utilised appropriately;
- It is an on-going process of collecting and analysing data to measure performance;
- It also serves as an early warning system indicating problems that need to be corrected;
- It reports on actual performance against what was planned or expected;
- It provides a useful base for evaluation.

Monitoring is central to the management process and should be carried out in such a way that it builds capacity for internal monitoring. This can be achieved if:

- Monitoring is viewed as a generic management function that should be undertaken by all line managers. While the Legislature may have a central M&E unit, it remains the responsibility of all managers to monitor their own programmes, projects and operations. M&E should therefore be included as one of the key managerial functions in performance agreements;
- Managers use monitoring information to assess and review progress against the objectives and indicators. Monitoring reports should assist managers to identify areas where improvements are required in policies, plans and the implementation phase;
- The emphasis is on improvement of performance, rather than punishment or reward;
- The information which monitoring produces is useful for the managers, and assists them to manage their units, sections, departments and organisations better;
- Managers are involved in the monitoring process, and are provided with the results of the monitoring;
- Managers are supported with monitoring tools and capacity building measures.

2.2 What is Evaluation?

As indicated earlier in this document, Evaluation is viewed as a separate and specialised function, rather different to that of monitoring. It is complementary to, and in some aspects superior to, other routine performance measurement techniques, as it offers a more in-depth study of programme or project performance. Evaluation analyses the causes and effects in greater detail and provides recommendations. Its findings should be made public, as a high premium is placed on the credibility and legitimacy of such evaluations.

Evaluation is the comparison of actual project results against the agreed-to, strategic outcomes-oriented goals; looking at what you planned to do and comparing it with what you have accomplished; how you accomplished it and how it has impacted on the lives of the stakeholders. (These could be officials at the legislature, MP/MPLs and all other stakeholders, including those from civil society). It can be evaluative or summative by nature.

Evaluation requires the application of sophisticated research methodologies to understand how policies, plans, programmes, and projects are working/progressing and measures the outcomes and impact. Evaluations therefore call for more specialised skills than monitoring.

Definition of Evaluation used in this Framework

Once again the GWME definition was considered to be the most appropriate description of evaluation for the legislative environment.

Evaluation is 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. Impact evaluations examine whether underlying theories and assumptions were valid, what worked, what did not and why. Evaluation can also be used to extract crosscutting lessons from operating unit experiences and determining the need for modifications to strategic results frameworks (Policy Framework for the GWME System, Nov 2007).

2.3 Types of Evaluation

There are many different types of evaluations, depending on the object being evaluated and the purpose of the evaluation. The most important basic distinction in evaluation types is that between formative and summative evaluation. Formative evaluation is an on-going process that allows for feedback to be implemented during a programme cycle.

Formative evaluations, therefore:

- Concentrate on examining and changing processes as they occur;
- Provide timely feedback about programme services;
- Allow managers to make programme adjustments “on the fly” to help achieve programme goals.

2.3.1 Formative Evaluation Types:

Formative evaluation includes several evaluation types:

- **Needs assessment** determines who needs the program; how great the need is; and what might work to meet the need;
- **Evaluability assessment** determines whether an evaluation is feasible and how stakeholders can help shape its usefulness;
- **Implementation evaluation** monitors the reliability of the programme delivery;
- **Process evaluation** investigates the process of delivering the programme or technology, including alternative delivery procedures.

Rapid Appraisal is also a form of formative evaluation and is usually executed for quick, real-time assessment and reporting, providing decision-makers with immediate feedback on the progress of a given project, programme, or policy.

Rapid appraisals produce much-needed information on a quick and timely basis and are relatively low cost, especially in comparison with more formal, structured evaluation methods. Such appraisals can provide a quick turnaround, basically to see whether projects, programmes, and policies are on track. However, the reliability, credibility, and validity of rapid appraisals may be more open to question because of certain factors, such as individual bias and preconceptions; and lack of quantitative data that can be replicated and verified easily.

Rapid appraisals can, however, make rapid reporting possible and help flag the need for continuous corrections, or can be used to justify a full-scale formative evaluation process.

2.3.2 Summative evaluation occurs at the end of a programme cycle and provides an overall description of programme effectiveness. It examines programme outcomes to determine overall programme effectiveness. Summative evaluation is a useful method to apply when called on to answer some of the following questions:

- Were your programme objectives met?
- Will you need to improve and modify the overall structure of the programme?
- What is the overall impact of the programme?
- What resources will you need to address the programme's weaknesses?

Summative evaluation can also be subdivided into:

- **Outcome evaluation**—It investigates whether the programme caused demonstrable effects on specifically defined target outcomes;
- **Impact evaluation**—It is broader and assesses the overall or net effects – intended or unintended – of the programme as a whole;
- **Cost-effectiveness and cost-benefit analysis**—It addresses questions of efficiency by standardising outcomes in terms of their rand costs and values;
- **Secondary analysis**—It re-examines existing data to address new questions or uses methods not previously employed;
- **Meta-analysis** integrates the outcome estimates from multiple studies to arrive at an overall or summary judgement on an evaluation question.

2.4 Complementary role of Monitoring and Evaluation

In contrasting the two definitions, i.e. of monitoring and evaluation, it is evident that they are distinct, yet complementary. Monitoring gives information on where a policy, programme, or project is at any given time (and over time) relative to respective targets and outcomes. It is therefore descriptive in intent. Evaluation, on the other hand, gives evidence of why targets and outcomes are or are not being achieved. It seeks to address issues of causality. Of particular emphasis here is the M&E function, which focuses explicitly on outputs, outcomes/results and impacts. There is a need for good evaluative information throughout the life cycle of a programme or project—not just at the end—to determine causality.

Evaluation is complementary to monitoring in that when a monitoring system sends signals that the efforts are going off track (for example, that there is real resistance to adopting an innovation), then good evaluative information can help clarify the realities and trends noted within the monitoring system. Channah-Sorah (2003:7) states that, "If annual performance information is presented by itself (in isolation) without the context and benefit of program evaluation, there is a danger of programme managers, legislators, and other stakeholders drawing incorrect conclusions regarding the cause of improvements or declines in certain measures... Simply looking at trend data usually cannot tell us how effective our program interventions were".

Findings from evaluation projects are useful in defining indicators for monitoring purposes. Information on monitoring progress towards results can help identify important evaluation questions. It is primarily for this reason (complementarity) that the two functions are integrated in the current Framework.

The table on the next page illustrates the different, yet complementary, roles that monitoring and evaluation play in M&E systems.

MONITORING	EVALUATION
Explains aims and objectives of the project, programme and policy initiative	Analyses why and how intended results were or were not achieved
Links the objectives to the activities undertaken and the financial and human resources used	Assesses specific contributions of activities to the results (e.g. addresses the cause- effect linkage, or attribution issues)
Translates objectives into measurable, usually quantitative, performance indicators and sets targets (intended results)	Examines the implementation process and other desired results not easily measured or quantified
Routinely collects data on these indicators; compares actual results with initial targets	Examines the implementation process Explores unintended results
Reports on progress to managers and alerts them to problems requiring attention and action	Provides lessons and recommendations for adjustments in projects and programmes to improve results

2.5 The importance of Monitoring and Evaluation

One of the Legislature's major challenges is to become more effective and efficient in delivering on its mandate. Monitoring and Evaluation processes can assist legislatures in evaluating their performance and identifying the factors which contribute to the outcomes, whether positive or negative. M&E is therefore deemed important because, it:

- provides the only consolidated source of information showcasing institutional, programme and project progress;
- allows managers and officials to learn from one another's experiences, building on pooled expertise and knowledge;
- often generates reports (usually written) that contribute to transparency and accountability, and allows for lessons to be shared more easily;
- adds to the retention and development of institutional memory (serves as a knowledge repository);
- reveals mistakes and offers paths for learning and improvements;
- provides a basis for questioning and testing assumptions;
- provides institutions seeking to learn from their experiences a means to incorporate them into policy and practice; and
- provides a more robust basis from which to influence policy.

M&E is, however, extremely complex, multi-disciplinary and skill intensive. M&E in the Legislative Sector is even more so, since it additionally requires political savvy, detailed knowledge of the relevant legislature and recognising the seemingly indistinct interface between planning, budgeting and implementation. However, the development and implementation of strong M&E systems will promote coordination and prevent fragmentation.

2.6 Objectives of Monitoring and Evaluation

The M&E objectives, as indicated below, describe in detail the anticipated result.

(a) Solving implementation problems:

Monitoring programme execution to detect and correct implementation problems. This is a managerial learning function and is usually incorporated within a management information system.

(b) **Intra-sphere accountability:**

M&E programme execution, both within the legislature and between legislatures, to ensure that public representatives and officials are doing what they have undertaken to do. This is a managerial (internal) accountability function also, usually incorporated within a Management Information System (MIS).

(c) **Provide public information and support accountability:**

Providing information to the Legislature Board/ Rules Committee and the public to: (i) render external accountability; (ii) provide information that legitimises public action; or (iii) provide information that facilitates public choice and voice.

(d) **Improving programme design and ensuring informed decision-making:**

M&E allows legislatures to learn about the efficiency and effectiveness of individual programmes, so as to inform decisions to extend, improve, or abolish them, by using strong evidence to guide which way to go.

(e) **Coordinating and prioritising among programmes (particularly in budgeting):**

M&E allows legislatures to learn about efficiency and effectiveness across programmes. This assists legislatures to: (i) coordinate among programmes; and/or (ii) prioritise (projects, planning, and budget decisions).

(f) **Enhancing institutional learning and building capacity and capability:**

M&E systems should always have an impact on institutional learning, thereby allowing for building capacity and capability.

2.7 Benefits of Monitoring and Evaluation

Some of the potential benefits which can be obtained from M&E include the following. It:

- determines the extent to which the programme/project is on track and makes desired corrections;
- reports progress to managers and alerts them to problems;
- facilitates learning and feedback into policy and implementation;
- ensures policy and management decisions are based on evidence;
- explores unintended results;
- ensures a better understanding of which programmes are cost-effective and which are not;
- ensures the most effective and efficient use of resources, thereby saving money;
- improves understanding which leads to being able to overcome institutional bottlenecks and improve results (adapting policy and programme); and
- evaluates the extent to which the programme/project is having or has had the desired impact.

2.8 Principles of Monitoring and Evaluation

M&E should be based on clear principles of good governance and methodological integrity. The table below lists M&E principles based on international literature and good practice experience. They articulate the values vital for guiding and informing M&E practice in the SALS and should be applied for M&E systems to meet their purpose. Legislative bodies may articulate their own M&E principles to reflect their specific strategic and operational contexts.

Monitoring and Evaluation Principles	
1. M&E should contribute to improved governance	
Transparency	All findings are publicly available; providing evidence of the impact, effectiveness and efficiency of the work of the legislature.
Accountability	Use of resources is open to public scrutiny.
Participation	Voice is provided to civil society.
Inclusion	Traditionally excluded interests are represented throughout the M&E processes. This would include gender, disability and youth mainstreaming.
2. M&E should be rights based	
Bill of Rights	Voice is provided to civil society. Plans and targets should promote outcomes and indicate probable impacts on citizens; not just focus on activities and outputs.
3. M&E should be development-oriented – nationally, institutionally and locally	
Learning	Knowledge and an appetite for learning are nurtured in institutions and individuals.
Impact awareness	The possible impacts of M&E interventions are considered and reflected upon in plans and their actual outcomes are tracked and analysed systematically and consistently.
Promote innovation	It is important to change the common culture of fearing to do things differently. In the interest of improving performance, managers should be encouraged to try new ways of doing things. A culture of learning from mistakes should be encouraged.
Confidentiality	Processes ensure the responsible use of personal and sensitive information. Promises of anonymity and non-identifiability are honoured and relied upon.
4. M&E should be undertaken ethically and with integrity (continued)	
Respect	Dignity and self-esteem is built amongst stakeholders and affected people. M&E processes are skilfully and sensitively implemented.
Representation of competence	Those engaged in monitoring and evaluation represent their competence and the limitations of their reports fairly.
Fair reporting	Reporting provides a fair and balanced account of the findings.
5. M&E should be user-friendly	
Defining and meeting expectations	M&E products meet knowledge and strategic needs. There is no point in producing information/reports which are not used. Performance information should come from normal business processes.
Supporting utilisation	A record of recommendations is maintained and their implementation followed up. An accessible central repository of evaluation reports and indicators is maintained.
6. M&E should be methodologically sound	
Consistent indicators	Common indicators and data collection methods are used where possible to improve data quality and allow trend analysis.
Data/evidence based	Findings are clearly based on systematic evidence and analysis.
Appropriateness	Methodology matches the questions being asked.
Triangulated	Multiple sources are used to build more credible findings.

7. M&E should be operationally effective	
Planned	M&E is routine and regularised.
Scope	The scope of M&E reflects its purpose, level of risk and available resources.
Managed	Conscientious management of the function leads to sustained on-time delivery of excellence.
Cost effective	The benefits of M&E are clear and its scale is appropriate, given resource availability.
Systematic	Robust systems are built up that are resilient and do not depend on individuals or chance.

2.9 Monitoring and Evaluation Norms and Standards

Norms and standards are essential for providing guidance and direction to the sector in undertaking its activities. They define the minimum levels of service expected and the materials, equipment, and resources required to achieve these service levels. However, in the case of South Africa's public service, no national norms and standards for M&E have been approved and adopted, although there have been attempts at it.

To be successfully implemented, norms and standards should be developed as part of a consultative process among all stakeholders and, to provide for differences in resourcing and capacity, they could be tailored to suit various national and provincial requirements.

Aspects of norms and standards are found in the Draft National Guiding Principles & Standards for Monitoring and Evaluation of Public Policies and Programmes in South Africa (June 2006). Researching different documents yielded minimum norms and standards for M&E in the SALS, set out below. It is noted that this document is work in progress; therefore the list is not exhaustive. Legislatures may utilise these norms and standards as a basis for developing its own set.

Norms & Standards	
Impartiality	Reporting procedures should guard against distortion caused by personal feelings and biases of any kind, so that reports reflect the findings fairly. It should not give preference to any particular perspective or point of view without saying so. It must cover strengths and weaknesses and be written in a manner that suggests that it is totally unbiased and presents the final truth.
Quality	To provide the outputs and outcomes that will satisfy required needs by meeting or exceeding stakeholder expectations (the degree of excellence).
Accuracy and Credibility	Intended to ensure that an M&E process uses appropriate data collection and analysis producing accurate, valid and reliable information; thereby revealing and conveying technically adequate information about the features that determine worth or merit of the programme/project being monitored and or evaluated.

Validity	Information-gathering procedures should be developed and implemented to assure stakeholders that the interpretation arrived at is valid for the intended use.
Intentionality	The process needs to be directed towards some goal, outcome and output.
Inclusiveness	Including the specified extremes or limits as well as the area between them
Transparency and consultation	As a principle, public officials, civil servants, managers and directors of institutions have a duty to act visibly, predictably and logically to promote transparency, participation and accountability. Simply making information available is not sufficient to achieve transparency; there needs to be consultation with all stakeholders as well. The latter will contribute to the process by providing views, and such views should be reflected in findings in an impartial and balanced way.
Justified conclusions	Conclusions reached should be explicitly justified, so that stakeholders can assess them. Supporting evidence should be presented clearly and findings considered explicitly.
Competence	A specific range of skills, knowledge and ability to execute and manage the programme/project effectively should be employed.
Contribution to knowledge building	Knowledge Management is an important management tool to reinforce and complement Results Based Monitoring, reduce costs, improve project management processes and address problems through systematic methods.
Utility	Evaluation should be planned and conducted with a view to serve the information needs of its intended users, be they stakeholders internal or external to the Institution. Evaluation recommendations should flow logically from findings, be actionable and be presented in a clear and timely manner. The intention should always be to incorporate results into learning and decision-making processes.
Propriety	M&E processes should be undertaken in a legal and ethical manner with regard to the rights of those involved in and affected by these processes. Stakeholders invited to contribute to these processes should be made aware of the purposes for and potential consequences of the processes.

2.10 Key Concepts of Monitoring and Evaluation

M&E revolves around a number of key concepts which will be explained in much more detail later in the document.

Inputs	All the resources that contribute to the production of service-delivery outputs. Inputs are “what we use to do the work”. They include finances, personnel, equipment and buildings.
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”.
Outputs	The final products, goods and services produced for delivery. Outputs may be defined as “what we produce or deliver”. In the legislative sector, an example of an output would be “legislation enacted”.
Outcomes	The medium-term results for specific legislatures which 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”. Outcomes are often further categorised into immediate/direct outcomes and intermediate outcomes.
Impacts	The results of achieving specific outcomes, such the impact of implementing specific pieces of legislation. Impacts are “how we have actually influenced communities and target groups”.

2.11 Monitoring and Evaluation Systems

A monitoring and evaluation system is a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships – these enable the SALS to discharge its M&E functions effectively. The M&E system should integrate information from the annual strategic and performance planning, resource management, and performance monitoring and evaluation processes, to enable managers to determine whether the system complies with the following characteristics:

- Clear understanding of the programme objectives: The scope, quality, budget and schedules need to be defined clearly, and each staff member needs to have the same vision regarding project outcomes.
- Clear expectations of each staff member’s role and responsibilities: Staff need to know how their work is linked together by participation in the development of programme plans and by committing to their section of the programme.
- Results/Outcomes oriented: Each staff member needs to be committed to achieving the project outcomes/results and objectives.
- High degree of cooperation and collaboration: Open, honest and timely communication should be the norm. Staff members should be prepared to share information and ideas, act as resources for one another beyond their duties, and, where possible, assist others to succeed in their tasks.
- High level of trust: Staff members need to comprehend their interdependency and to accept that everyone is needed on board for the programme/project to succeed. Conflict should be resolved through constructive feedback and positive contributions regarding issues. Staff should accept their differences, and differences of opinion should be encouraged, expressed and respected.

This *Framework* encourages the integration of M&E systems into the existing management system present within each legislative body which should include prevailing aspects of planning, budgeting and reporting systems.

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 will have an influence on the organisation’s decision-making, learning and governance processes.

The AO of the institution must ensure that, according to FMPA (2009), s 7(a), the resources of the Legislature are used

effectively, efficiently, economically and transparently. The AO is also responsible for preparing and presenting a draft Strategic Plan, APP, annual budget (including the MTEF) and Annual Report for the Legislature's administration to the EA. In order to ensure effective and efficient execution of these duties, the Act also stipulates the responsibilities of officials in s11(1). To assist the AO to accomplish these duties effectively and efficiently, the AO must ensure that an M&E function and system are implemented at the Legislature.

Performance information should assist managers to set performance targets for the institution, units within the institution, and for individuals. These should be spelt out in the internal management plans and individuals' performance agreements. Effective management processes and establishing M&E Forums would be critical for institutionalising M&E in the SALS.

Regardless of the aforementioned requirements for effective M&E processes, this *Framework* does not encourage the creation of additional reporting layers which will place further administrative burdens on the legislative institution. Instead, it encourages drawing on established source systems within the institution, which are required anyway, to generate the information necessary for refining institutional policy, planning and implementation processes.

2.12 Approach to Monitoring and Evaluation for the SALS

The SALS's M&E *Framework* focuses on both monitoring and evaluation components. This emanates from the views that have been articulated in the objectives of the Framework which emphasise both monitoring and evaluation.

The monitoring, evaluation and reporting of programme performance is imperative in the continued efforts aimed at strengthening of programme performance management in the legislature. These efforts are essential in ensuring effective and efficient implementation of the Five-Year Strategic Plan and the Annual Performance Plan of the legislature which should culminate in the attainment of strategic outcomes-oriented goals and strategic objectives.

These planning and M&E processes will present the Legislature with the opportunity to fulfil and achieve the mandate and mission of the Legislature. The management of programme performance is also useful in determining the extent to which the legislature is meeting its planned objectives and targets (predetermined objectives).

The legislature should therefore ensure effective reporting, monitoring and evaluation of programme performance, through the monthly, quarterly, mid-term and annual performance reports, in line with an agreed-upon, annual schedule for submission and review of such reports.

2.12.1 Results/Outcomes-Based approach to Monitoring and Evaluation (RBME)

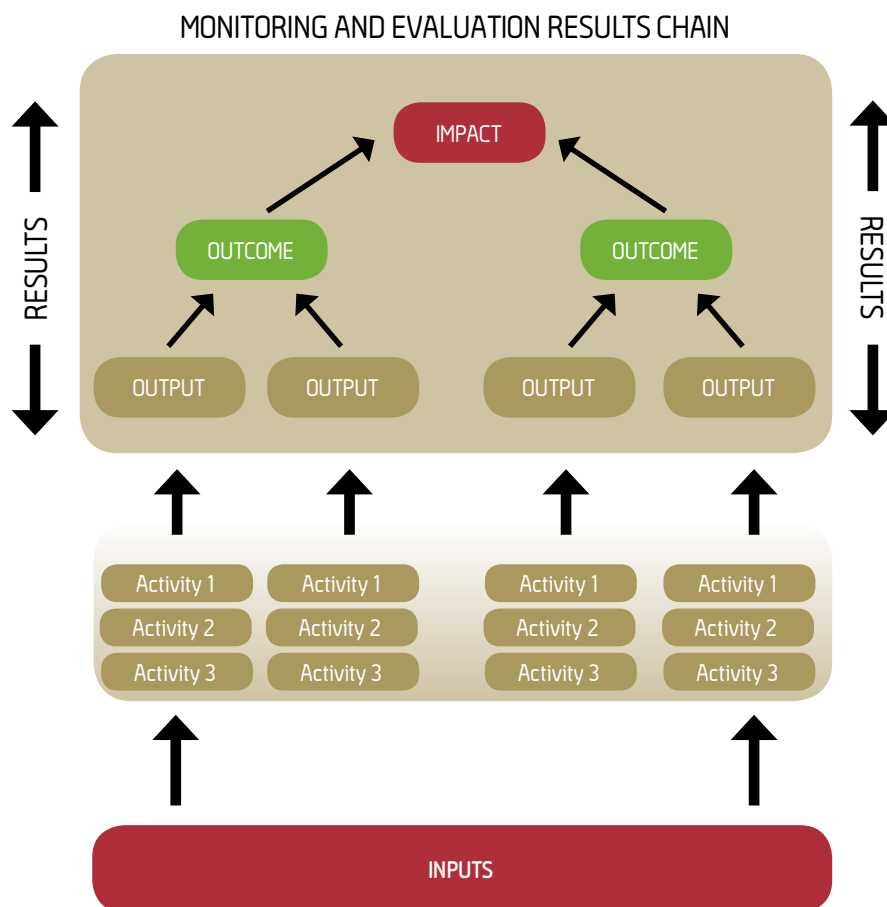
An evolution in the field of monitoring and evaluation has taken place over the past forty years. This involved a movement away from the traditional, implementation-based (input) approaches toward the new outcomes/ results-based approaches. The latter approach helps to answer the "so what" question after successfully achieving the outputs. In other words, institutions may successfully implement programmes or policies, but have they produced the actual, intended outcomes/results? Have legislators truly delivered on promises made to their constituents/ stakeholders?

When adopting an outcomes/results-based M&E approach, legislatures must also examine impacts. The introduction of an outcomes/results-based M&E system takes decision-makers one step further in assessing whether and how goals are being achieved over time. These systems help to answer the all-important "so what" question, and respond to stakeholders' growing demands for results.

Credible answers to the "so what" questions address the accountability concerns of stakeholders, give managers

information on progress toward achieving stated targets and goals, and provide substantial evidence as the basis for any necessary mid-course corrections to programmes, projects and activities.

The results/outcomes-based M&E system should align with annual plans and operational plans of the organisation to become truly outcomes/results-orientated. Activities are crucial, as these actions are embarked upon to implement programmes, use resources and deliver services. However, this does not mean the outcomes have been achieved. Monitoring systems demonstrate whether the project is on track and/or interim results (milestones) have been achieved.



A 'result' or 'outcome' is defined as 'a describable or measurable development change resulting from a cause-and-effect relationship'. In the SALS outcomes/results are viewed as that which the activity produces, whether outputs, outcomes or impacts; as indicated in the diagramme above.

The results/outcomes chain essentially tells us what stakeholders want to achieve, why they want to achieve it and how they will go about it. Different levels of results seek to capture different development changes. It recognises the need to link inputs, activities, outputs, immediate and intermediate outcomes with long-term developmental impacts. The key components of each programme will outline a theory of change underpinning the results chain in the particular legislative context.

A results/outcomes-based system also provides feedback on the actual outputs, outcomes and goals of the institution, by gauging whether programmes have actually produced the intended results (improvement in the status of the programme/situation); or whether they have delivered on the promises they made to their stakeholders. Outputs, outcomes and impacts (results) must therefore be examined.

M&E can only thrive if the overall management ethos is one which is oriented towards performance. Literature, however, suggests that a culture of accountability for outcomes/results is not yet completely entrenched within the South African Legislative Sector. This might result in M&E being regarded as intrusive in institutions where it has not yet achieved an acceptable level of maturity. M&E practitioners will therefore be required to play an important role in changing mindsets and attitudes and must be able to negotiate organisational politics to achieve their M&E objectives.



SECTION C

Practical steps towards institutionalising Monitoring and Evaluation

3. Utilising the Ten-Step Model towards institutionalising a Results/Outcomes-Based Monitoring and Evaluation for the legislative sector

Developed countries, particularly those of the Organisation for European Co-operation and Development (OECD), have had more than 30 years of experience in M&E, while many developing countries are in the beginning phases of using this key management tool. The experiences of the developed countries are instructive, and can provide important lessons for developing countries. Developed countries have chosen a variety of starting points for implementing results/outcomes-based M&E systems, including whole-of-government, enclave or mixed approaches that may also be applicable to developing countries. For their part, developing countries face a variety of unique challenges as they try to answer the “so what” question – What are the results and impacts of government actions?

Building and sustaining outcomes/results-based M&E systems is not an easy task. Legislatures face multiple obstacles which they need to overcome when developing M&E systems. Results to an M&E survey across the SALS in October 2013 revealed that only four legislatures have M&E systems in place while six legislatures view M&E as an ad-hoc position with officials permanently appointed in other administrative positions also taking responsibility for M&E. Through this process M&E has been reduced to a ‘ticking the box’ exercise.

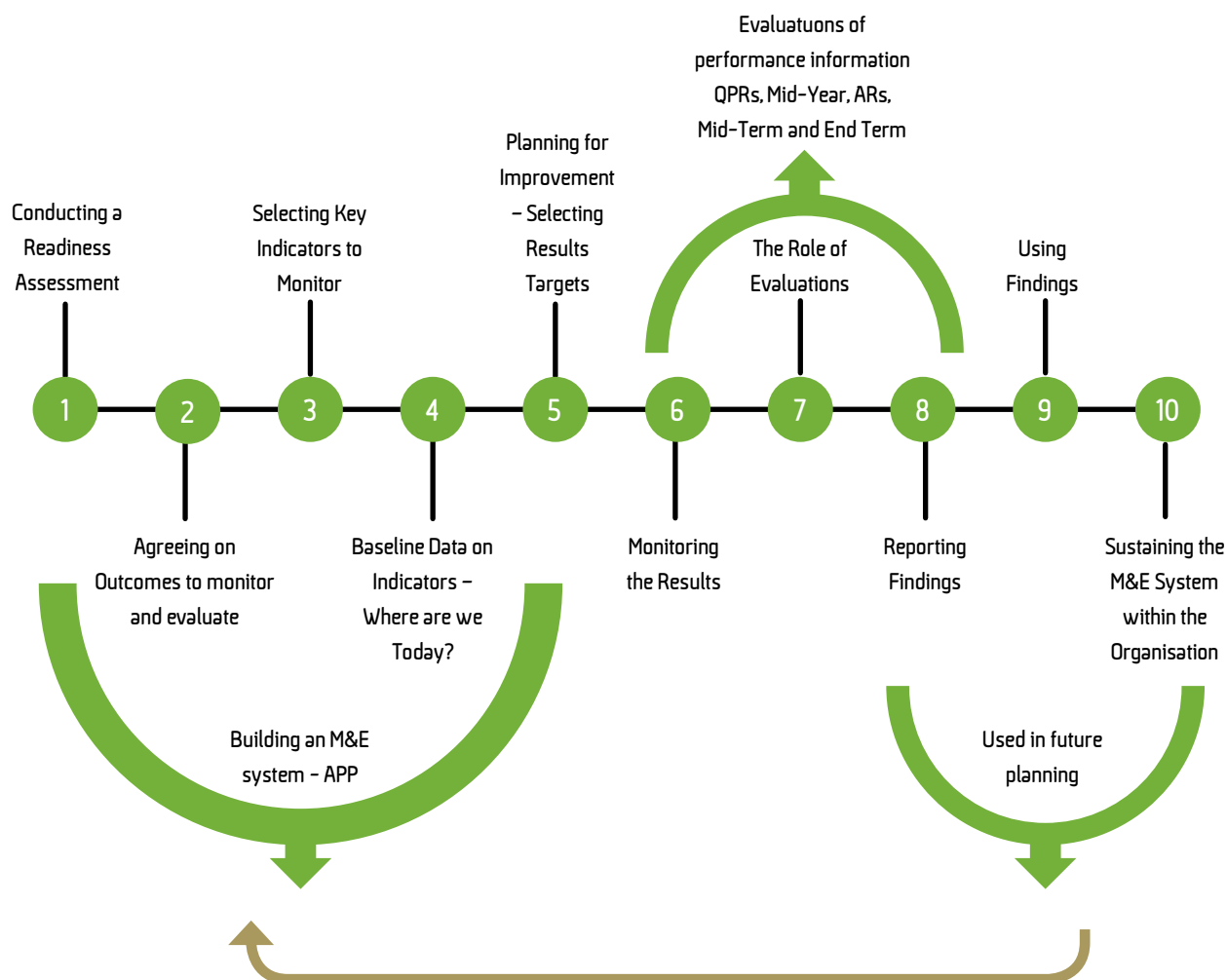
The Ten-step model, which was designed by the World Bank, was chosen as a fitting M&E model for the SALS because it is a tried and tested model which has been effectively used in many countries where M&E systems have been established and successfully implemented.

The Ten-step model which provides basic information on how to start and progress incrementally to the successful implementation of M&E system was selected since M&E is an emerging tool in the SALS. By using this model legislatures and M&E practitioners will be guided to systematically prepare, plan, design and implement a results/outcomes-based M&E system in their individual legislatures.

Although experts vary on the specific number and sequence of steps in building a results/outcomes-based M&E system, all agree on the overall intent. Some specialists propose five- or seven-step models. Regardless of the number of steps, the essential actions involved in building an M&E system are comparable and should form the basis of any Policy developed for the Legislative Sector.

The diagram which follows has been adapted from the Ten-step model to include the administrative processes of developing the APP (steps 1-5); monitoring using monthly reports and quarterly reports (step 6); evaluation of results [outputs, outcomes and impact] (steps 7-8) and pursuing the findings for future planning (step 9). Sustaining the M&E system within the Legislature forms step 10.

Ten steps to Designing, Building and Sustaining a Result-Based Monitoring and Evaluation System



Ten-step model adapted from the original diagramme developed by Kusek and Rist (2008)

Step 1: Conducting a Readiness Assessment to determine the capacity and willingness of the institution to construct a results/ outcomes-based M&E system. This assessment must be conducted before the actual establishment of an M&E system. The readiness assessment also addresses issues such as the absence of champions; identifies the barriers and obstacles – structural, cultural, political, or individual – to building an effective M&E system; it clarifies who will own it, but also identify

who opposes it. This M&E process may require officials to change the way they do things, therefore it is important to embark on step 1 and get officials to buy into the M&E system before implementation thereof.

Step 2: Agreeing on Strategic Outcomes Oriented Goals to Monitor and Evaluate addresses the key requirement of developing strategic outcomes that focus and drive resource allocation and activities. In this step it is very important for institutional planners and M&E practitioners to agree on strategic results/outcomes (outputs, outcomes and impact) to monitor and evaluate. If the legislature fails to do this it will lead to disagreements on the objectives of the M&E process. This could eventually result in the discontinuation of the M&E process. It is also important to note that M&E can take place at a strategic level (including the APP, programs and budget vote) as well as a project level.

Business Units should work together to facilitate results/outcomes-based planning and agree on the *Strategic Outcomes Oriented Goals*. By doing this, they have dealt with an important step in the M&E process. These same *Strategic Outcomes Oriented Goals* serve as the M&E strategic goals; and this process therefore calls for a closer working relationship between planning and M&E in order to properly execute the entire Programme Performance planning process, which sets the scene for effective monitoring and evaluation of the Institutional and Project *Strategic Outcomes Oriented Goals*.

Step 3: Developing Key Indicators to Monitor Results in order to assess the degree to which the outcomes are being achieved. Developing indicators is a core activity in building M&E systems and drives all subsequent data collection, analysis and reporting. Indicators are the quantitative or qualitative variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of the legislative institution against the stated outcome.

Indicators may be derived from a number of sources: national legislation and policy, provincial legislation and policy, treasury regulations, etc. In selecting and reviewing indicator sets, the minimum number of indicators consistent with effective M&E will be used. One needs to acknowledge that each indicator identified entails both a cost and an informational benefit to the legislative institution. Furthermore, the process of indicator identification will be consultative, including as many of the stakeholders who are involved in reporting on the indicator and who will be using the resultant information as is practically possible.

Identification and update of indicator sets will take into consideration the following factors:

- Statutory requirements
- Validation through recognition in the research literature
- Responsiveness to changes over time and among different populations
- Availability – ideally on an annual basis from official statistics sources.
- An appropriate mix in the hierarchy of indicators to cover all areas of the results chain: inputs, outputs, outcomes and impacts.

For validation and auditing purposes, it is important to have comprehensive metadata (i.e. data about the data). The metadata for each of the indicators reported in the legislative institutions' strategic and annual performance plan should contain:

- A detailed technical indicator description: The indicator title, a short definition of the indicator, the purpose/importance of the indicator, the source of data/collection of data, methods of calculation, data limitations, the type of indicator (input, activity, output, outcome, impact), calculation type (cumulative or non-cumulative), reporting cycle (monthly, quarterly, annually etc.), whether desired performance is higher or lower than target and whether the indicator is new, has been altered in comparison with the previous year, or is identical with that reported in the previous year.

- Performance management information relating to that indicator: who is responsible for providing the data, for collecting and collating the data, for verifying and for reporting the data relating to the indicator identified.

The indicator set for each programme as well as their metadata will be described in the M&E plans, as these may change from year to year in alignment with the annual performance plan.

In selecting or reviewing indicator sets, the minimum number of indicators consistent with effective M&E processes should be identified, acknowledging that each indicator requires both a cost and an information benefit to the legislative institution.

Performance indicators need to be clear, relevant, economic, adequate and monitorable because the more precise and coherent the indicators, the better focused the measurement strategies will be. Important aspects to keep in mind when developing indicators include the following:

- They must be linked to the strategic plan of the institution and the M&E strategy;
- They should be useful for programme/ project decision-making;
- They should be consistent with the standards of the SALS M&E Framework and other appropriate reporting requirements (e.g. FMPA, PFMA, Treasury Guidelines or customized Guidelines);
- Must be realistic to collect (feasible);
- They must be easily monitorable and measurable

Using the “Smart Criteria” to develop effective indicators

The “SMART” criteria constitute good practice for developing and selecting predetermined objectives, including good programme performance indicators and performance targets. The principal elements of the criteria are explained as follows:

- Specific: the nature and the required level of performance must be clearly identified;
- Measurable: the required level of performance must be clearly identified;
- Achievable: the target must be realistic given existing capacity;
- Relevant: the required performance must be linked to the achievement of the strategic-outcome oriented goals and
- Time-bound: the time period or deadline for delivery must be specified.

The aforementioned criteria could be complemented, where necessary, with the “CREAM” criteria.

The “CREAM” Criteria

The “CREAM” criteria, albeit less known, also constitute good practice for identifying and selecting predetermined objectives, including programme performance indicators and performance targets. The principal elements of the criteria are explained as follows:

- Clear: Precise and unambiguous;
- Relevant: Appropriate to the business of the institution;
- Economic: Can be achieved at a reasonable cost, where possible and applicable;
- Adequate: Provide a sufficient basis to assess performance and
- Monitorable: Amenable to independent validation.

One should realise that it is not always possible to simultaneously adhere to all the principal elements of both the SMART and CREAM criteria. It is suggested that you select an appropriate mix in the hierarchy of indicators to cover all areas of the results chain: inputs, outputs, outcomes and impacts. However, there is no doubt that both complementary criteria are integral to the development of effective indicators and management of programme performance at the Legislature.

Step 4: Gathering Baseline Data on Programme Performance Indicators and or Project Performance Indicators involves describing and measuring the initial conditions being addressed by the outcomes. It is the first measurement of an indicator. It establishes a starting point from which to later monitor and evaluate results. The baseline is the current level of performance that the institution aims to improve.

Within the Legislative Sector the Baseline is normally the achievement of the previous year for Institutional performance monitoring. At most Legislatures the baseline is already identified in the Annual Performance Plan and it will shift each year as the first year's performance will become the following year's baseline.

In developing new programmes or projects where there is no official baseline available, research (i.e. surveys, field visits, community or focus group interviews, etc.) should be undertaken to establish data which will reflect a baseline. Project baselines are dependent on whether it is a new initiative or building on a previous project. We propose that the M&E Unit establishes partnerships with the Research Unit when ascertaining baselines, as they can contribute valuable information in this regard.

Step 5: Planning for Outcomes and Impacts requires setting realistic targets and recognises that outcomes are long-term, complex and not quickly or easily achieved. It is therefore useful to establish interim targets (milestones) that specify how much progress towards an outcome is to be achieved over a specific period and the resources needed. Develop Strategic and Annual Performance Plan targets, and ensure consistency in the adoption of indicators as discussed in Step 3. Also determine monitoring and reporting formats and processes.

These five steps form the foundation phase. It is important to note that the process from step 1 to 5 typically represents the development of the institutional APP; hence the need for M&E practitioners to work closely with institutional planners. In this step there should be a clear indication that legislatures are graduating from outputs to outcomes and impacts (results).

Step 6: Monitoring for Results (Outputs, outcomes and impacts) is the administrative and institutional task of establishing data collection; analysis and reporting guidelines; designating who will be responsible for specific activities; establishing quality control processes, timelines and costs; working through roles and responsibilities and establishing guidelines on transparency and dissemination of the analytical information/ results.

The M&E system must align with the strategic and annual performance plans of the legislature to be a true results/ outcomes-oriented system. In terms of the agreed reporting format and process, monitor the indicators (step 3) by collecting relevant data. Consider responsibilities for ensuring quality, credible data, transparency and dissemination of analytical information/results.

In the SALS monitoring takes place in the following instances: (i) through monthly reports; (ii) quarterly reports; and (iii) when reaching certain milestones in projects. The monthly report is an operational report, whereas the quarterly report is a strategic report. The quarterly report can also be evaluated, for instance when the evaluation management committee meets to discuss the outputs for the quarter; when they consider possible changes due to poor performance or unexpected policy changes then they are effectively evaluating the QPR.

However, it has been reported that a culture of monitoring for reporting purposes is currently prevalent in most Legislatures, as they are not using the information gathered to inform performance improvements. A good practice is to obtain the views

from users to assess if progress is being made and if the intended impact will be achieved.

Step 7: Evaluating for Results focuses on the contributions that evaluation studies and analyses can make throughout this process to assess results/outcomes.

When evaluating value judgments are being made and these are based on reported results as viewed against set objectives and targets to improve the following.

- Programme; projects and budget performance;
- Accountability;
- Learning;
- Decision-making.

Evaluation should be embarked upon at two levels:

- Strategic level (broad and long term – rationale/justification, change/redirecting)
- Operational level (efficiencies/processes and production of planned results).

It is proposed that both internal (e.g. quarterly, mid- and end year, i.e. formative) and external (e.g. mid-and end-term, i.e. summative) evaluations be conducted.

Analysis of programmes, process evaluations, output, outcome and impact evaluations and triangulation are amongst the strategies that can be employed for evaluation. Here it is important to note the complementarity of evaluation to monitoring. Evaluation information can also raise the need for a re-examination of the presumed cause of a problem – and what alternative counter-measures might be needed.

Step 8: Analysing and Reporting Findings. This is a crucial step as it determines what findings are reported to whom, in what format, and at what intervals. The analysis and reporting should talk to the original intended results and objectives (step 2) using data collected in terms of the indicators developed in step three (3). This step is usually gap-orientated and shortcomings are frequently highlighted. It is, however, important to also reflect the achievements and improvements.

Step 9: Using the Findings emphasises that the crux of the system is not simply generating results/outcomes-based information, but getting the information to the appropriate users in a timely fashion so that it can be taken into account during decision-making processes. This step also addresses the roles of civil society and other stakeholders in using the information to strengthen accountability, transparency, resource allocation and improve public trust. The findings should be discussed and made available to critical stakeholders for:

- Learning purposes (generating knowledge)
- Improving future planning (budgeting, performance targeting and process improvements)
- Improving accountability (on public spending).

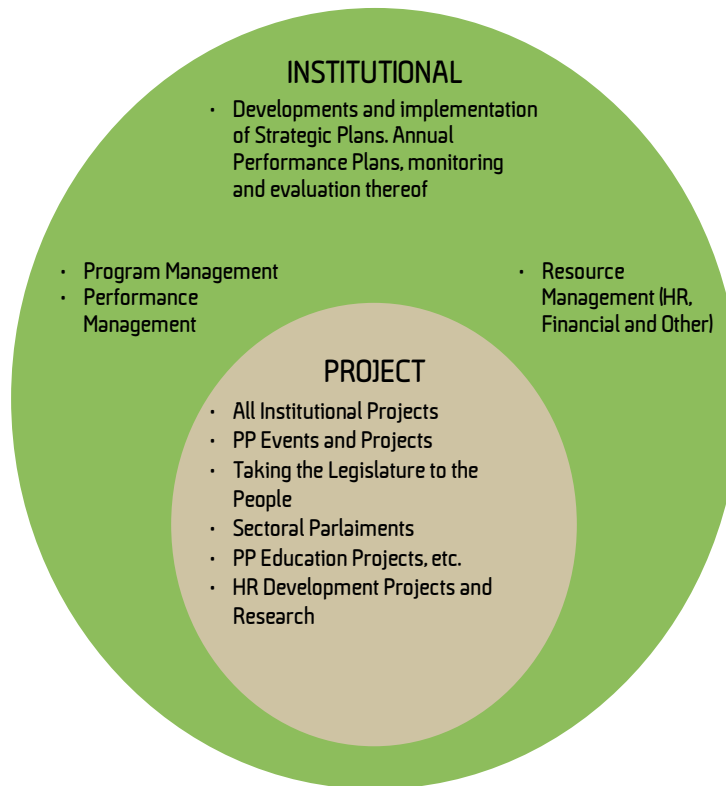
Step 10: Sustaining the M&E System recognises the long-term process involved in ensuring the longevity and utility of an M&E system. This step therefore deals with the challenges in sustaining results/outcomes-based M&E systems which include aspects such as demand, clear roles and responsibilities, trustworthy and credible information, accountability, capacity, and appropriate incentives. Each dimension needs constant attention over time to ensure the viability of the system.

It is important to constantly sell the benefits of a results/outcomes-based M&E system to relevant and strategic

stakeholders. Also ensure that the original objectives of the system are maintained and that the terms of reference are properly approved before implementation. Make sure that the system/process is credible and objective and provide appropriate incentives to inform and drive proper development and implementation of strategic, annual, and operational plans; budgets and efficiencies in resource utilisation.

In summary, the results/outcomes-based M&E system must align with strategic and annual performance plans and operational plans of the legislature to become truly results/ outcomes-orientated. Activities are crucial as these actions are taken to implement programmes, use resources and deliver services. However, this does not mean the outcomes have been achieved. Monitoring the systems will demonstrate whether the project is on track or results have been achieved.

4. Levels of Monitoring and Evaluation



In the SALS there are two levels of M&E which can be categorised as (i) Institutional and; (ii) Project-based.

4.1 Institutional Based Monitoring and Evaluation

The fundamental role of managers, whether individually or collectively, is to manage performance. Accountability for performance management in the legislative environment is governed by the FMPA (2009), and the Public Audit Act (No 25 of 2004). Legislatures therefore craft their strategic outcomes-oriented goals and objectives as prescribed by the FMPA and monitoring and evaluation thereof is guided by the parliamentary cycle and programmes of the Legislature.

Effective programme performance management requires a performance management system which links planning for programme performance.

4.2 Project Based Monitoring and Evaluation

In order to ensure that its strategic oriented goals are achieved, legislatures also embark on projects, especially in the area of Oversight, Public Participation and to a lesser extent, administration. Projects may include Public Participation events, such as Taking Parliament to the People; Sectoral Parliaments, Oversight visits, Outreach projects (PP Education Initiatives, i.e. school visits, civic education on Democracy, etc.), in the different Districts in the Province and country, but do not exclude projects of an administrative nature, like Organisational development, Re-structuring and other typically administrative research projects. In most cases projects are also linked to the Legislature's annual calendar for celebrating public festivals such as Human Rights Day, Youth Day, Women's Day, Heritage Day, etc.

Conceptualising, developing and implementing these projects should enhance the strategic oriented goals and objectives of the institution and should therefore be accurately aligned to them. Most of these projects are recurring projects (on an annual basis), however it has emerged that only a few of these projects has been monitored and or evaluated. It is therefore proposed that, before embarking on these projects, officials must develop a proper project and M&E plan and ensure that it is implemented as this process will assist in correctly identifying indicators and measure outputs, outcomes and results for Legislatures to make informed decisions for future projects.

Once-off projects such as HR-related issues or specific research projects should ensure that the conclusion and recommendations enhance the current situation by impacting on the strategic outcomes oriented goals. Because project outputs lead, often indirectly, to project outcomes, and wider, less predictable or controllable impacts, M&E also needs to be flexible enough to accommodate and learn from the unexpected.

All managers responsible for projects must ensure that planning and the execution of projects within their ambit form part of their M&E function. They have to plan for the monitoring and evaluation of these projects from conceptualisation of the project. The information gathered through monitoring and evaluation results should inform management on the success/failure and value for money of these projects. Managers should be bold enough to recommend that certain projects be discontinued should they not yield the expected results/outcomes.

5. Integrating Planning, Budgeting and Monitoring and Evaluation

The M&E Policy and Plan of any institution is not a stand-alone document. It is, in fact, an integral component of the institution's strategic plan as it is a fundamental part of the strategic planning process from beginning to end. The situational analysis in the strategic plan would also be relevant for defining the baseline data required by the Legislature. M&E must therefore be developed in conjunction with other relevant planning, budgeting and reporting frameworks, formats and guidelines.

A crucial link between strategic planning, M&E and budgeting is the identification of performance measures or indicators. The identified indicator set with their associated baselines is a key instrument for monitoring and evaluating the strategic plan.

Furthermore, once performance targets are set, these will have resource and budget implications. Budgets are, in essence, just the resourcing of strategic plans and budget execution is an important dimension of financial performance which should also be monitored and evaluated.

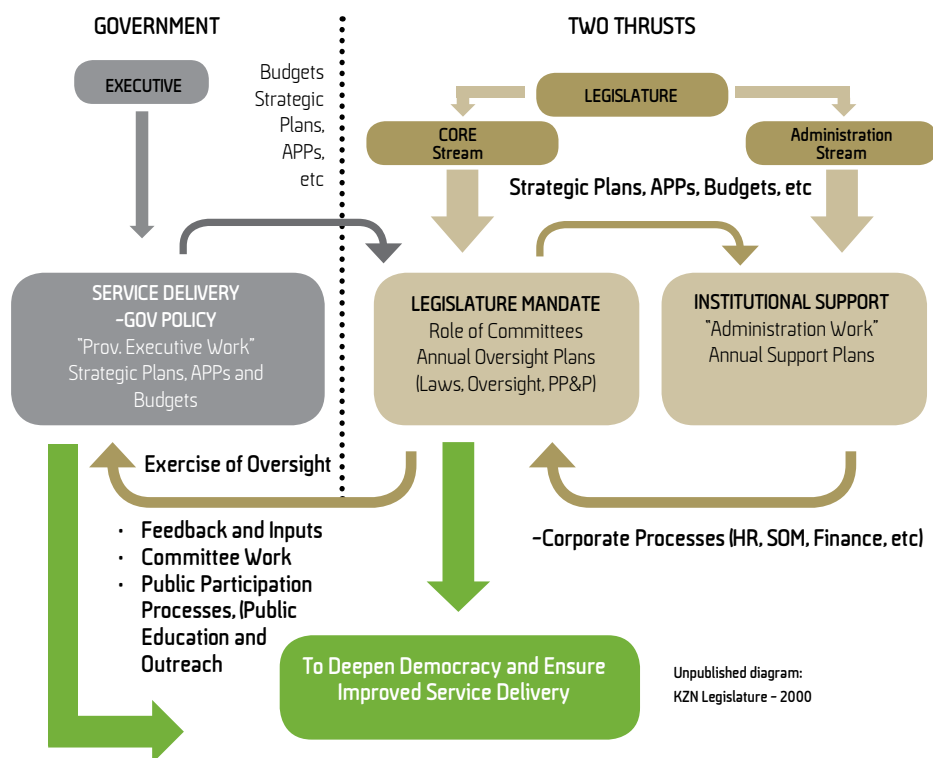
The M&E Framework for a legislative institution should clearly outline how M&E findings will feed back and inform policy development, strategic and operational planning, budgeting, reporting as well as programme and suitably project management.

6. The Unique Legislative Environment (“Core” and “Administrative”)

As indicated earlier in this document the Legislature has a unique composition and is different to any other government institution in that it has two streams::

- (i) **“Core” business stream** (which is performed by politicians, i.e. the elected Members of Legislatures). The core functions of the Legislature is to perform oversight over the executive branch of government and render law-making through public participation. Most of the work of this stream is executed through committees and during the House sittings.
- (ii) **“Administrative” business stream** (which is executed by the officials/employees of the Legislature). This stream employs and manages staff that provide corporate and technical professional support (Committee Researchers, budget Analysts; Legal Practitioners etc.) to Legislature committees and the House (core business stream).

Given the aforementioned scenario, the ideal would be that each Legislature should develop, implement, monitor and evaluate two sets of performance indicators and targets; one for the ‘Core’ and another for the ‘Administrative’ stream. The ‘Core’ stream requires the Committee Section, in collaboration with the Chairperson of Committees and the entire group of Chairpersons, as per the Sector Oversight Model (SOM for Committees), to study the mandate of the Executive, its strategies, budgets, annual performance plans and other government policies, so as to develop and contract its “Annual Oversight Plan”. This Committee Oversight Plan, which incorporates the performance indicators of M&E programme should be endorsed by the Chairpersons; tabled in the House and driven by the Standing/ Portfolio Committee Chairpersons.



Through its professional staff, the administration business stream assists the core business stream with the development of the Annual Oversight Plan (AOP). Because the primary role of the administrative stream is to provide support to the core stream, the administrative stream should study the AOP and develop its own Annual Operational/Support Plan with a set

of performance indicators aimed at demonstrating how it will support the core stream in executing the AOP. It is therefore important that Legislatures develop and implement M&E processes recognising the existence of two sets of performance indicators (core and administration).

7. Project monitoring

Critical projects embarked upon by the Legislature must identify in its project plan when monitoring (usually when a milestone has been reached) will take place. Monitoring reports should provide an indication of the process followed and progress made during the course of the year. Managers should ensure that the project objectives are linked to the achievement of the original strategic outcomes oriented goals of the institution.

These reports should capture the changing environment within which the project functions. As such, project reports, must at least address the following:

- Extent of achievement of results/outcomes;
- Activities carried out;
- Delivery update;
- Possible changes in sector and environment and effect on project/programme;
- Proposals for changes in activities.

Work plans should capture the activities that are engaged in within the particular project. These activities are broken down into detailed tasks that need to be fulfilled. Timeframes for the completion of specific tasks (milestones) are of critical importance. Responsibilities and budget allocations for the completion of tasks should also be specified in these work plans. This process enables the monitoring of activities and outputs.

Project monitoring information should guide the institution in making informed decisions regarding the continuation of the projects should unexpected challenges divert the process.

7.1 Other Mechanisms of Monitoring

Monitoring, as an on-going process, is not necessarily confined to the structured systems mentioned earlier, as informal monitoring processes exist and are used extensively at all Legislatures. Monthly meetings, where all Managers report on performance achieved (or not) and output challenges are excellent monitoring tools and its value should not be underestimated. This feedback provides M&E practitioners with information that is not necessarily captured in formal reports and presents valuable background information when compiling M&E reports.

The Internal Audit processes also play an important role in generating M&E information and should be effectively used by M&E practitioners. This suggests that the M&E practitioner must have access to (i) Internal Audit meetings (with observer status); (ii) minutes of these meetings for effective utilisation of the information.

8. Evaluation in Practice

Whilst monitoring asks whether the things planned are being done right, evaluation is asking whether the right things are being done, are we effective, efficient and providing value for money, and how can we do it better. Evaluation has the element of judgement, and must be performed against specific objectives. In order to be able to attribute the cause of the impact to the intervention, evaluations should ideally include a counterfactual (where the intervention did not happen).

Evaluations are positive tools for the improvement of institutional performance, policies, programmes and projects. Following up on evaluation findings and recommendations is therefore a crucial stage in the evaluation process, and the whole focus of the evaluation process must be on promoting utilization of the findings and recommendations.

Initially evaluations will tend to focus on process evaluations and outcomes (results) evaluations, but over time greater emphasis will be placed on long term impact evaluation. A process evaluation (such as a mid-term evaluation) aims at understanding how the programme actually works and where its strengths and weaknesses lie.

LEVELS OF EVALUATION

<ul style="list-style-type: none">• Whether we are doing the right things• Rationale/justification• Clear theory of change	Learning
<ul style="list-style-type: none">• Whether we are doing things right• Effectiveness in achieving expected outcomes• Efficiency in optimizing resources• Client satisfaction	<p>Whether there are better ways of doing it</p> <ul style="list-style-type: none">• Alternatives• Best practices• Lessons learned

During evaluation processes questions can also be posed against a pre-existing plan or strategic intent. It seeks to determine whether plans are achieving their intended impacts, and to assess the causal links between activities carried out under the plans and observed impacts.

Evaluation can be undertaken for four primary purposes:

- Improving performance (evaluation for learning);
- Evaluation for improving accountability;
- Evaluation for generating knowledge about what works and what does not;
- Improving decision-making.

Planning an evaluation involves consideration of the object of evaluation (what is to be evaluated); the primary intended user of the evaluation information; the purpose of the evaluation; the evaluation approach and methodology, including the type of questions being asked, leading to identification of the type of evaluation needed.

Six main types of evaluation are identified – diagnostic evaluation, design evaluation, implementation evaluation, economic evaluation, impact evaluation, and evaluation synthesis. The priority for evaluations will be on large, strategic, or innovative interventions, those of significant public interest, or if decisions have to be made about continuation of a programme or project.

Legislatures must incorporate evaluation into their management functions as a way to continuously improve their performance. They need to:

- Ensure there is an evaluation budget in all programmes and a rolling plan over 3 years for which evaluations will be undertaken (typically 0.1%–5% of an intervention’s budget dependent on the size of the evaluation project);
- Ensure there are specific people within the organisation entrusted with the evaluation role, and with the required skills;
- Ensure that the results of evaluations are used to inform planning and budget decisions, as well as general decision-making processes. Thus the results of evaluations must be discussed in management forums and used to guide decision-making.

8.1 Management and coordination of evaluation across the legislative environment

In order for this policy framework to be implemented it needs a strong champion (the SALS). It furthermore needs broad buy-in across legislatures to build on the scarce evaluation skills which generally exist. The SALS will have to establish an Evaluation Technical Reference Group to support it in taking evaluation forward provincially and nationally. In collaboration with LSS a set of evaluation criteria should be developed to evaluate projects across the legislative environment. The following evaluation projects are envisaged: (i) mid-term; (ii) end-term (iii) twenty years of democracy (impact studies). Other evaluation studies could include thematic studies of legislature-specific topics in law-making, oversight, public participation, etc. These evaluation studies may be collaborative efforts of all the Legislatures or a selection of Legislatures.

Some of the potential benefits which can be obtained from evaluations include:

- Learning and feedback into SALS policy and implementation;
- Ensuring policy and management decisions are based on evidence;
- Better understanding of which programmes are cost-effective; and
- Improving understanding and so being better able to overcome institutional bottlenecks to improved impact (adapting policies and programmes).

Ultimately these should result in:

- Strengthening the culture of the use of evidence to improve performance;
- Improved policy and planning;
- Better resource allocation;
- Minimising negative unintended consequences of policy; and
- The public being informed (aware) of what the Legislature does (public accountability).

8.2 Type of Evaluations which Legislatures may embark upon:

- Diagnostic Evaluation
- Design Evaluation
- Implementation Evaluation

- Impact Evaluation
- Economic Evaluation
- Evaluation synthesis

One of the ways to ensure evaluation quality is to avoid reinventing tools. The SALS shall issue specific guidance notes and standard setting guidelines for evaluation to complement this Framework. The SALS will monitor overall legislative progress with evaluations and will ensure that evaluations are carried out to measure the impact of evaluation itself. It will report on its findings to SALSA and the SFSA.

In the following diagram the purpose and reasons for evaluation are clarified.

PURPOSES	EXAMPLES OF REASONS OR DECISIONS FOR EVALUATION
Improving programmes and projects	<ul style="list-style-type: none"> • Enhancing the theory of change and therefore impact • Identifying strengths and weaknesses • Quality enhancement • Improving cost-effectiveness • Managing more effectively • Improving learning by sharing lessons learned • Adapting a model locally
Improving accountability	<ul style="list-style-type: none"> • Assessing impact • Assessing compliance / audit • Improve transparency • Accountability
Generating knowledge	<ul style="list-style-type: none"> • Generalisations about effectiveness • Extrapolating principles about what works (and not) • Building new theories and models • Informing policy
Decision-making	<ul style="list-style-type: none"> • Assessing impact • Cost-benefit decisions • Deciding a programme / project's future

8.3 What do we evaluate and how?

It is important for managers to identify what they need to know from evaluations. Initially evaluations will tend to focus on process evaluation and outcomes evaluation, but over time greater emphasis will be placed on long term impact evaluation. A process evaluation (such as a mid-term evaluation) aims at understanding how the programme actually works and where its strengths and weaknesses lie.

Depending on the size of the programme or project Evaluation should take place at least at the end of the specific programme /project. Reports of summative evaluation paint pictures of the level of success or proficiency that has been obtained at the end of a programme/ project.

In contrast to summative evaluations, formative evaluations are recommended when the Legislature mainly needs to gather feedback/ information for use by management to guide improvements in the on-going programme / project. Formative evaluation results can also be used to inform summative evaluation conclusions and recommendations.

Project evaluation is of great importance to gauge the value for money and possible impact the project might have had on the stakeholders/ civil society. Short-term projects, which are repeated on an annual basis (i.e. Taking the Legislature to the People), should be evaluated over a period of three to five years as a multi-year evaluation process, as this will effectively include different stakeholders and civil society groupings from different geographical areas in the country.

8.3.1 Internal evaluations

The FMPA requires Legislatures to develop a five year Strategic Plan and review its APPs, Programmes and project plans annually and report on these outputs as prescribed. On a quarterly basis the institutional performance, as reflected in the APP, is reviewed taking the quarterly performance reports into account. During quarterly performance report meetings Managers are interrogated and have to verify the outputs reflected in their QPRs. This can be viewed as a 'review' of the review.

All Legislatures are regularly involved in projects, it is proposed that internal evaluation of smaller projects should also take place. An annual project such as the Opening of the Legislature, which in most cases is a major event with huge costs to the Legislature, should be evaluated and aspects such as lessons learned; enhancing the quality of the project and possible cost-benefit decisions made. Similarly, the Legislature is responsible for hosting Sectoral Parliaments and Taking the Legislature to the People projects amongst others, which are important public participation initiatives, but very costly events which as a result must be evaluated for outputs and outcomes. In some cases, given the size of the evaluation study, collaborative studies could take place and it may even be outsourced.

8.3.2 External evaluations

In the legislative environment institutional performance is evaluated mid-term (after three years in the five year cycle). Annual evaluations take place during the Annual Report debates in the House where the AR of the Legislature is scrutinised by MP/MPLs and the contents thereof interrogated. The EA and the AO are responsible for the outputs of the Legislature and have to field the questions from the floor. This is a good example of annual evaluation, but this should be improved by external commissioned evaluation of outcomes of the Legislature.

The previously mentioned public participation initiatives of the Legislature should be evaluated every 3 – 4 years (mid-term evaluation) to establish whether they have addressed the proposed outcomes of the project. Other larger evaluation projects could be included. Legislatures are encouraged to conceptualise their own large scale evaluation programmes according to their needs.

Planning and evaluation involves consideration of the object of evaluation (what is to be evaluated); the primary intended user of the evaluation; the purpose of the evaluation; the evaluation approach and methodology including the type of questions being asked; leading to identification of the type of evaluation needed.

Evaluation addresses amongst others the following:

"Why" Questions What caused the changes the legislature is evaluating?

"How" Questions What was the sequence or processes that led to successful / or poor outcomes?

"Compliance/ Accountability Q" Did the promised activities actually take place, and with what consequences?

In executing each individual programme or project evaluation, the following steps will generally be followed:

- **Engagement with stakeholders** to define the programmes/ projects or other interventions to be evaluated and the specific performance questions to be evaluated. These stakeholders should include senior management in the legislative organisation, partners involved in programme delivery, those served or affected by the programme or project (e.g. youth, women, senior citizens in the case of sectoral parliaments) and other stakeholders who have an interest in what will be learned through evaluation.
- **Planning and designing the Evaluation:** Each intended evaluation will have to adhere to the M&E principles outlined earlier in the document and have a detailed programme or project evaluation plan.
- **Conducting the Evaluation:** This process includes assembling evaluation evidence through collecting methodologically sound data using various methods such as qualitative and quantitative, experimental, observational or some mixture of the aforementioned. It also includes analysis of the data and the justification of evaluation conclusions/ findings in relation to the evidence. These evaluations can occur at different stages – prior to an intervention, during implementation, and after implementation.

For evaluations to be credible and useful they must be relevant and timely for decisions, unbiased and inclusive and able to pass the tests of research validation. Evaluation is not restricted to assessing causes and changes after an intervention or initiative is over. The after-the-fact approach is restrictive because this type of evaluation information does not feed back into the on-going management of the organisation's performance.

A summative evaluation at the end of the programme's life may be more outcomes-based or results based. The performance questions which could be asked here include:

- Were the objectives defined at the start of the programme or project met?
- How were the programme and project objectives established in the first place?
- Was this process effective?
- To what extent have the individual outcomes been achieved? If not, why not?
- Were the outcomes achieved on the original schedule? If not, where were the major variances and why?
- How should priorities, service delivery methods or project activities be changed in order to better achieve outcomes?
- Should goals be modified (added, removed) and why?

8.4 Evaluation Findings

The Financial Management of Parliament Act (FMPA), 2009 (Act 10 of 2009) requires the Accounting Officer to account to the Executive Authority. Section 15(2)(d) of the FMPA states that the APP must specify performance targets related to each of the performance measures and indicators for assessing the performance of Parliament (Legislatures) in achieving the objectives and outcomes detailed in the Strategic Plan. The three types of reports required by legislation are further described in detail.

8.4.1 In-Year Evaluation

Chapter 8 (Part 1: in-year reporting) of the FMPA sets out the legal requirements for the preparation of the in-year performance information reports as follows:

- Section 52 of the FMPA stipulates that 'within 30 days of the end of each quarter, the AO must report (i.e. quarterly performance reports) to the EA on Parliament's / Legislature's performance in implementing the annual performance plan in that specific quarter';
- Section 53(1) of the FMPA states that 'before 31 October of each year, the AO must submit to the EA a report (i.e. Mid-year budget and performance assessment) that assesses the performance of Parliament's/ Legislature's administration during the first half of the financial year, taking into account:
 - The monthly statements referred to in section 51 for the first half of the financial year
 - The past year's annual report, and progress on resolving problems identified in the report; and
 - Performance in implementing the annual performance plan.
- Section 53(2) of the FMPA states that in the Mid-Year Budget and performance assessment report, the AO must:
 - Recommend whether an adjustments budget may be necessary; and
 - Revise projections for revenue and expenditure to the extent that this may be necessary.
- Section 54(1) of the FMPA states that the Executive Authority must table the monthly, quarterly and mid-year reports in Parliament / at the Legislature within five working days of receiving the reports.

To comply with the legal requirements for the preparation of in-year performance information reports, a timetable for the submission of IY Reports is proposed (see proposal in Addendum).

8.4.2 Quarterly Report: Strategic Evaluation /Reporting

The cumulative quarterly report is generated after unit managers have engaged with (i) section managers followed by interaction with (ii) department managers regarding their three-monthly reports. It is the responsibility of the unit manager to develop this quarterly report. The section manager reports on progress made in achieving the strategic objectives, which are linked to the section's business plan. This report must narrate the business of the Legislature, not only that of the unit, but the entire division (including the section that forms part of this division).

The Quarterly Report must be submitted to the Accounting Officer of the Legislature who will in turn forward it to the Monitoring and Evaluation Unit for them to scrutinise the content for further discussion and or decision-making and reporting. These consolidated quarterlies must be submitted to the Parliamentary Governance Board/ Rules Committee for tabling, comment and discussion after which it is scrutinised by the Audit Committee in preparation for submission to the relevant authority.

8.5 Compiling quarterly performance reports by Divisions and Sections of the Legislature

In the absence of common SALS Quarterly and Annual Report Templates for Legislatures it is proposed that Managers follow the suggested template as per FMPA (or PFMA) or develop their own format for compiling monthly, quarterly, and annual reports. The Mpumalanga Provincial Legislature's M&E Unit has developed and implemented the following strategies for quarterly reporting quite successfully. Legislatures are encouraged to either utilise or customise this format to address their individual needs.

8.5.1 Description of proposed template for compiling quarterly performance reports by Units, Sections and Divisions of the Legislature

(a) Purpose of the Programme (Division)

- Under this section of the quarterly report, the purpose of the division (programme) as reflected in the Annual Performance Plan must be re-stated.

(b) Overview of the service delivery environment of the Unit/ Section/ Division

- This section of the quarterly report should provide a balanced overview of the context within which the unit/section/division (future use of Division to include Unit and Section) operated during the past quarter in implementing the Annual Performance Plan.
- The overview should include the following:
 - Commentary of the division's overall performance focusing on key services rendered and the quality of that service;
 - Commentary of the division's expenditure in relation to the performance of the division during the quarter under review; and
 - Description of any significant development internal and/or external to the division that may have impacted the divisional performance during the period under review.

(c) Challenges of the divisions and mitigation factors for each challenge

- Under this sub-section, key challenges of the division during the period under review should be stated.
- For each highlighted challenge of the division, a mitigation factor for addressing each challenge should also be stated.

(d) Policy and/or legislative developments:

Under this sub-section, the division should describe major and relevant policy and/or legislative developments that have taken place which have had an impact on the divisional performance during the period under review.

(e) Performance measures, targets and achievements of each Section (Sub-programme)**(f) Purpose of Section/ Programme (sub-programme)**

- The purpose of the section (sub-programme) as reflected in the Annual Performance Plan must be re-stated.

8.5.2 Summary of the performance environment of the Section (sub-programme)

Summary of the context within which the section operated during the past quarter in implementing the Annual Performance Plan.

- The overview should include the following:
 - Comment of the section's overall performance focusing the services rendered and the quality of that service;
 - Description of any significant development internal and/or external to the section that may have impacted the section's performance during the period under review; and
 - Indicate reasons for deviations and propose recommendations to address poor performance outputs.

8.5.3 Service delivery achievements of each Section

Summary of the context within which the section operated during the past quarter in implementing the Annual Performance Plan.

- The section (sub-programme) must report on each and every programme performance indicator and target relating to each strategic objective stipulated in the 2011/12 Annual Performance Plan.
- This will include:
 - Actual performance achieved against the planned quarterly target/s; and
 - Reason/s for not achieving the planned quarterly target/s.
- The numbering of strategic objectives, programme performance indicators and targets for each sub-programme must be exactly as reflected in the Annual Performance Plans
- The template below can be used by programme and sub-programmes in reporting the above-mentioned performance information regarding the quarterly reports of the period review.

8.6 The Template

Strategic Objective	Programme Performance Indicator	Annual Target	Actual performance against target		Reason/s for deviation / non-achievement of target/s
			Quarterly Target	Actual Output	

8.7 Budget of the Section / Programme (Sub-programme)

- All Sections must report on its expenditure in line with its quarterly performance under review and in the context of the annual budget of the section
- This should cover the following:
 - Allocated annual budget of the Section
 - Quarterly expenditure against quarterly performance under review
 - Percentage quarterly expenditure
 - Available budget
 - Projected quarterly expenditure in line with the planned quarterly performance

Strategic Objective	Quarterly Expenditure	% Quarterly expenditure	Actual performance against target	Available Budget	Projected next quarterly expenditure

8.8 Mid-Year Evaluation Reports

A number of Legislatures has committed to increasing the use of monitoring and evaluation as a management tool by changing the culture of management performance from one which focuses almost exclusively on activities to one which also focuses strongly on results. Hence certain legislative institutions conceptualise and execute a mid-year evaluation process.

One legislature developed a mid-year review process which includes the following steps:

- An annual mid-year report covering the period 1 April to 30 September should be produced;
- This mid-year report should indicate the extent to which the Annual Performance Plan of the Legislature for a particular financial year has thus far been implemented by the divisions of the Legislature; and
- It should also cover progress on resolving challenges that were identified by the Auditor General in the previous year's annual report of the Legislature.

The scope of mid-year performance assessment report is confined to the performance reported and recorded by Divisions on their first and second quarterly performance monitoring reports. The data employed during the analysis and assessment of the Mid-Year report will therefore emanate from the first and second quarterly performance reports of the Legislature which had been submitted to the Monitoring and Evaluation practitioner/ Section.

The method of data collection that was used for analysis and assessment must be indicated for ensuring that secondary data analysis is conducted. It is envisaged that such analysis will result into mainly quantitative data and also some qualitative data which will together, allow for drawing conclusions, judgments, findings and recommendations.

The assessment of the mid-year performance of the Legislature should culminate into specific findings which should be identified and recorded in the report. The findings should ensure that short-comings are identified and acted upon by the relevant managers.

This mid-year-review should contribute towards developing a culture of continuous improvement, accountability and transparency.

8.9 Annual Report: Strategic Reporting

It is critical for the Legislature to demonstrate accountability and transparency in relation to its constitutional and operational responsibilities. It is therefore required that, in its Annual Report, the Legislature provides a balanced and reliable performance information regarding the Legislature's performance against its predetermined strategic objectives and performance targets as contained in its Annual Performance Plan that was tabled in the House.

- Performance information should, reflect details regarding the Legislature's achievements using the resources allocated to it.
- Performance information should also serve to support the issues of accountability and transparency in public reporting and this information should be communicated in the Annual Report by means of an evaluation of performance, on a programme and sub-programme levels against the Legislature's planned predetermined strategic objectives and performance targets.

8.10 Specific Requirements in Addressing Performance Information

In reporting on the 2013/14 financial year, the annual reporting framework for programme performance of the Legislatures must be in accordance with the Estimates of National Expenditure 2013/14 (ENE) and the Strategic and Annual Performance Plans as tabled in the Legislature. The programme performance must clearly report on the Legislature's performance against service delivery objectives and targets as identified in the ENE and Strategic and Annual Performance Plans.

The programme performance of Legislatures must be in accordance with their strategic and annual performance plans as tabled in the Legislature, and must also clearly report on the Legislature's performance against specified service delivery objectives and targets as contained in their Annual Performance Plans. A cross reference to the Annual performance Plan is required. The information presented in this section together with the Annual Financial Statements (AFS), must be presented to the House.

There must be consistency between the objectives and performance information per programme in the annual performance plan, the strategic plan, quarterly reports and budget. In order to ensure consistency with the FMPA (and the Amendment Bill to be enacted soon) requirements for compiling the Annual Report should be updated accordingly whenever it becomes necessary. Narrations of progress made towards achieving strategic objectives or deviation of targets must be included in the reports.

The Legislature must report on output information for each of the sub-programmes under the Programme in accordance with the performance measures and performance targets as specified in strategic plan and annual performance plan. The next table reflects an example of reporting against specified targets.

Strategic Objective	Programme Performance Indicator	Actual Performance against Target		Reason for Variance
		Target	Output	

This document has to adapt to the changing nature of reporting requirements in the legislative sector. The AR must be adjusted accordingly to ensure that is up-to-date.

8.11 Five Year Review Report (End-Term Review)

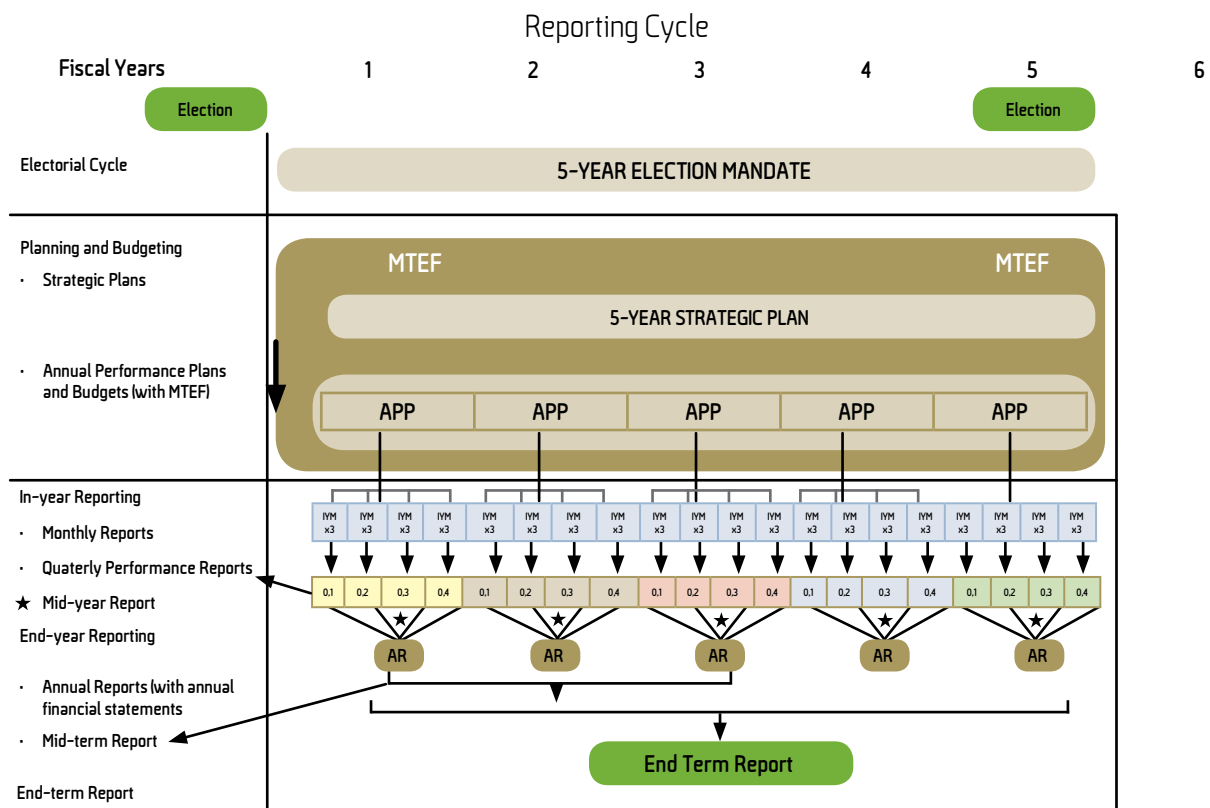
According to S4(1)(a)(b) of the FMPA the Executive Authority must table the monthly, quarterly and mid-year reports in the Legislature within the stipulated timeframes of receiving the reports. The Legislature must promptly refer the reports to the oversight mechanism.

The legislative institution should outline its general approach to evaluations over the five years, bearing in mind that resources are limited and evaluation projects will have to be prioritised:

- List all research studies, consultants' reports and other evaluation studies** commissioned by the legislative institution over the previous MTEF period.
- The criteria by which the legislative institution needs to prioritise evaluations over the next 5 year period** should be outlined. These could include: policy relevance, large spending programmes, programmes with major problems, pilot programmes to be scaled up or down, timeliness of the evaluation findings in relation to decision-making processes, etc.

- c) The legislative body, on the basis of the prioritization criteria outlined above, should **give a high-level schedule of planned evaluations over the MTEF period** that prioritizes its evaluative activities within the context of the policy direction of the legislative institution.
- d) For each individual evaluation prioritized and planned to be carried out **the purpose and scope of the evaluation should be briefly described** at a high level. Closer to the time the evaluation will be executed, a more detailed evaluation plan should be drawn up which will identify specific performance questions, information needs and indicators, plans for the gathering, collation and analysis of data, etc.
- e) Where legislative institutions are engaged in joint policy or programme development and implementation, they should also **collaborate in the formative evaluations** during the life of the programme or project (e.g. mid-term reviews) and in summative assessments after the programme or project is concluded or has operated over a reasonably long time span. The roles and responsibilities of the various stakeholders in joint evaluations should be outlined in the detailed evaluation plan for each individual evaluation.
- f) The legislative institution should identify the qualitative and quantitative research that indicate **new policy developments** and would possibly create new data requirements in future.

In this section all the types of reports required for submission by legislative institutions have been identified; guidelines to execute and process the different reports (from monthly, quarterly, annual, mid-term and five-year review) provided. Once again, the importance of M&E is highlighted as well as collaboration with Policy, Planning, Finance and Document Management to make this process a success.



9. Verification

Effective M&E reporting depends to a large extent on verification processes for its integrity and accuracy. What M&E practitioners should essentially do is to validate reports against plans and intent. Without the benefit of in-the-field checking and verification; reports could still be considered as incomplete or untruthful.

Verification is an energy intensive task requiring human resources to corroborate M&E data and information. It also involves fieldwork at oversight locations to verify results claimed by oversight committees or information supplied by departments.

For the M&E unit to be successful this requires a critical mass of staff, which at this stage may not be feasible but some options can be considered, such as building verification into the work of the Monitoring officials. This can be done on a random basis taking cognisance of the workload and specific results in a given year.

10. Findings

10.1 Functions of findings

Analysing and reporting performance findings are critical steps in the M&E process because it determines what is reported, when it is reported, and to whom it is reported. M&E reports have many different functions and the information produced can be put to different uses:

- To demonstrate accountability – delivering on socio-political promises made to stakeholders and citizenry;
- To convince – using evidence from findings;
- To educate – reporting findings to assist organisational learning;
- To explore and investigate – seeing what works, what does not and why;
- To document – recording and creating an institutional memory;
- To involve – engaging stakeholders through a participatory process;
- To gain support – demonstrating results to gain support among stakeholders, and
- To promote understanding – reporting results to enhance understanding of projects, programmes and activities.

It is important to always report against the baseline and intermediate measurements to determine whether progress has been sustained, or not. Comparing actual outcomes to targets is central to reporting results.

10.2 Using the findings

Using the findings to improve performance is the main purpose of building a results/outcomes-based M&E system. Bringing stakeholders into cooperation with the legislative organisation generates trust. Findings can be used in a variety of ways:

- Respond to elected public representatives' and the public's demand for accountability;
- Help formulate and justify budget requests;
- Help make operational resource allocation decisions;

- Trigger in-depth examinations of what performance problems exist and what corrections are needed;
- Help motivate personnel to continue making programme improvements;
- Formulate and monitor the performance of service providers and contractors;
- Provide data for special, in-depth programme evaluations;
- Support strategic and other long-term planning efforts (by providing baseline information and later tracking progress);
- Help promote knowledge and learning; and
- Build public trust by communicating regularly.

An M&E framework that generates knowledge, and promotes learning in its own right, is an important means of capacity development and sustainability of institutional results. It is important to view M&E systems as an institutionalised form of learning and knowledge creation.

By producing a continual flow of feedback and data, M&E systems help decision-makers manage more effectively as organisational cultures can be transformed through the use of M&E systems. These systems also guard against the possible loss of institutional memory due to staff changes, as it is minimised because M&E systems, when well maintained, produce a record of data over time and change will be managed more easily.

11. Collaboration with other Functional Areas

It is very important that there is a close working relationship between the M&E practitioners and other related functions such as policy and strategic planning, research, internal audit, risk management, ICT and document management. The Institutional Planner is generally responsible for the development of the legislative institution's 5 year strategic plan and the Annual Performance Plans. It is therefore important that the Institutional Planner works closely with the M&E practitioner to ensure that:

- M&E findings from the previous cycle inform the development of policy and strategy in the new planning cycle and;
- Performance indicators and targets in the new strategic and operational plans are aligned to the strategic outcomes oriented goals and sufficiently quantifiable and well defined to lay the foundation for effective M&E systems.

Initially researchers should be requested to assist with the development of research tools for internal and project evaluations; analyse the data collected and guide the M&E practitioners in the interpretation phase. Similarly, officials in the Internal Audit Unit and Risk management should share the information gathered and liaise with the M&E practitioners to enhance the M&E reports.

The challenge for the M&E practitioner is to assist programme and other line managers to improve their strategic and operational plans (especially with regard to indicator development) which in turn will improve the integrity of the M&E reports.

As alluded to earlier in this document, the ICT unit and document management practitioners also play important roles in terms of managing the legislature M&E database (using information technology); the packaging of reports and internally distributing information. A good working relationship between all these officials will enhance the M&E system. Bottom-line is, M&E is everybody's business and should be part of every official's performance agreement.

12. Stakeholders

The next table describes the roles and responsibilities for performance monitoring and evaluation within the legislative context. Three major categories have been identified, i.e. (i) Political role-players; (ii) Legislature officials and (iii) Stakeholders.

Stakeholder Category List

WHO	WHAT
The Speakers' Forum	Overall M&E political championing structure
Executive Authorities (e.g. in Parliament, the Speaker of the National Assembly and the Chairperson of the National Council of Provinces, acting jointly)	Should use M&E findings in the political oversight of institutional performance and for ensuring that desired outcomes and impacts are achieved. Also provide the bodies to who they are accountable with regular and detailed reports on the institutions under their control.
Members of Parliament and Members of Legislatures	As representatives elected by South Africa's voters, the executive and all its structures are accountable to legislatures. Legislators should use M&E insights to assist them in exercising consistent and informed oversight of the bodies accountable to them, in assessing the impact of legislation and tracking progress in the mainstreaming of gender, disability, etc.
SALSA	Overall M&E advisory & administrative championing structure
Accounting Officers (Secretaries to Legislatures)	<ul style="list-style-type: none"> • Overall M&E administrative champion and advisor • Establish legislature M&E Section/ Unit/ or function in the Legislature • Ensure there is adequate budget and infrastructure for institutional M&E • Ensure that the M&E information is used for decision making • Establish senior-level M&E advisory committee for support and oversight of M&E initiatives at the Legislature • Ensure the development of performance framework linking institutional programmes with sector goals • Develop and implement on-going monitoring systems of institutional programmes • Plan for and conduct periodic evaluations or special studies of programmes or sets of programmes as required • Annually report on programme results and sector performance • Input to budget and policy discussions • Coordinate M&E capacity development • Coordinate or facilitate development • Coordinate or facilitate development of sectoral M&E professional association/ Forum • Facilitate and promote the use of M&E Information

Programme Managers, other line managers	Establishing and maintaining M&E systems within their areas of responsibility, especially collecting, capturing, verifying and using data and information.
Designated M&E practitioners	Ensuring the implementation of M&E strategies by providing expertise and support. Acting as a service hub for related initiatives.
Chief Financial Officer	The CFO has to liaise with the M&E unit to ensure that all performance measures or indicators tabled within the Legislative Institutions' Budget Statement and MTEF are consistent with those in the Strategic and Annual Performance Plans and M&E reporting instruments. Facilitating the reports on audits of non-financial information is the M&E practitioners' responsibility.
Institutional Planner	The Institutional Planner has to liaise with the M&E unit to ensure that the Outcomes-oriented strategic goals, measures and indicators are aligned to that of the M&E system.
M&E Committee (Management Team)	<ul style="list-style-type: none"> • Committee for review of findings and decisions for follow-up • Determine priorities for conduct of high-level evaluation or special reviews
Stakeholders	Various stakeholders (NGOs, NPOs, CBOs, Private sector) should be brought together for discussion/ input and analysis of projects and programmes. These include all officials responsible for the programs/projects; external stakeholders such as different civil society formations, external funders, etc. Lessons learnt should be implemented and noted by all stakeholders.
Auditor General	The AG has a constitutional mandate and, as the supreme audit institution of SA, it exists to strengthen the country's democracy by enabling oversight, accountability and governance in the public sector (including all legislatures) through auditing, thereby building public confidence.
Public Service Commission	<ul style="list-style-type: none"> • The PSC derives its mandate from sections 195 and 196 of the Constitution, 1996. • The PSC is tasked and empowered to, amongst others, investigate, monitor, and evaluate the organisation and administration of the Public Service. • This mandate also entails the evaluation of achievements, or lack thereof of Government programmes. The PSC also has an obligation to promote measures that would ensure effective and efficient performance within the Public Service and to promote values and principles of public administration as set out in the Constitution, throughout the Public Service.
National Statistical Agency	National survey capability and regular data provided. M&E practitioners are encouraged to utilise this information especially when embarking on impact studies.
National Audit Office	Potential oversight role over M&E system (audits on quality of data, quality of results-based performance reporting).

LSS	<ul style="list-style-type: none"> • Overall M&E technical championing supporting Unit • Facilitator for M&E Framework development and implementation activities • Central coordinator for the roll-out of M&E Framework in the sector • Sector nucleus for M&E – guidance and guidelines for performance measurement, monitoring, evaluation and reporting • Monitor, evaluate and report on the implementation of the M&E Framework across the sector and facilitate incentives of M&E • Coordinate M&E capacity development in the sector • Coordinate or facilitate development of sectoral M&E professional association/ Forum • Facilitate the use M&E Information
Civil Society	<ul style="list-style-type: none"> • Advocate for equity-focused and gender-responsive evaluation systems • Provide technical assistance as appropriate • Working with legislatures to formalize on-going or periodic feedback mechanisms
Training Institutions	Potential partners – national or regional tertiary institution to assist building M&E capacity and assist in executing evaluation projects.

13. Monitoring and Evaluation Capacity

13.1 Minimum Required Monitoring and Evaluation Capacities

It is recommended that all the M&E practitioners should have at least a basic degree with direct M&E experience. The following list of requirements should be viewed as a good practice guide:

- M&E leadership must be able to develop an M&E Strategy and Plan; and communicate the importance of M&E;
- Must be able to understand and apply the basic principles and practices of M&E;
- Command a good understanding of the context of institutional planning (strategic and annual performance plans), budgeting, M&E and reporting cycles and the roles of oversight bodies;
- Have a good knowledge of the theory of results/outcomes-based management and applying results/outcomes-based management in the institution;
- Have good knowledge of monitoring and a solid grounding in evaluation and research;
- Have good data analysis and reporting skills;
- Develop and deliver required reports that are timeous and of a high quality;
- Be able to raise critical issues based on M&E findings at the highest possible levels;
- Understand validation and verification processes and know how to conduct these and what to do with the results;
- Be able to manage consulting resources or technical assistance in an effective manner;

- (k) Have a good practical knowledge of Project Management;
- (l) Coordination, interpersonal and facilitation skills are important because M&E practitioners are required to work with and through different institutional units, including external stakeholders; and
- (m) Political awareness.

The aforementioned requirements do not necessarily reside within one person, but it must be viewed as guidelines for selecting effective and efficient M&E practitioners. As the M&E function grows in each Legislature, capacity building initiatives and improvements regarding human resources for M&E are encouraged.

13.2 Capacity Building

In developing a capacity building plan you may first have to consider how the legislative institution will design its M&E Strategy (especially if M&E is a relatively new function), and then consider the skills required to implement it.

The latter part of the capacity building plan should compare existing capacities with what is required to implement the M&E Strategy (based on the assignment of roles and responsibilities; which skills should certain groups of employees have). Once the gap has been identified, various capacity building options can be identified, costed and implemented.

The timing of the rollout of capacity building interventions should be linked to the annual budget and institutional plan. In order to ensure an effective M&E capacity building rollout plan the following guidelines are proposed. The M&E Strategy of the legislative institution should undertake and describe:

- A baseline skills audit of technical M&E practitioner skills, managerial skills and institutional experience should be provided;
- M&E capacity building projects for Members of the Legislature be initiated;
- What skills are currently in place for M&E and which skills are missing?
- What are the implications for recruitment, retention and training?
- Based on available M&E courses at the different Tertiary Institutions describe the legislative institution's approach to building the capacity of:
 - M&E users such as programme and project managers,
 - M&E managers as well as M&E practitioners?
- How would this M&E capacity plan relate to the legislative institution's HR skills development plan?
- Describe what budget has been allocated to the establishment and operation of the M&E function and system, as well as to the capacity building programme for officials.
- What basic tools of trade are required for effective M&E processes?
- Identify current skills to conduct evaluations, or to outsource them? How will outsourced M&E projects be managed, e.g. will the service provider be required to present an evaluation plan as part of the terms of reference?
- How can skills transfer be ensured? Describe the networks and knowledge sharing forums for M&E within the legislative institution, and those it participates in externally?
- Has budget provision been made for these?

14. A central repository

Each legislative institution's M&E Policy Framework should ideally identify a central point (usually within the Document / Knowledge Management System) at which M&E outputs should be lodged and stored for ease of access and to ensure they are known about and to encourage their utilization.

Given the nature of M&E, it obviously generates a significant amount of information and data that need to be processed, analysed and re-packaged for a number of M&E users within the legislative institution or sector. The scale of information dealt with – in the long run – may require an electronic IT solution to assist with data analysis and reporting.

Where M&E systems are supported by IT solutions systems, integration and ease of data interchange is critical to eliminate duplication in data entry and ensure the integrity of data. A feasibility study should ensure that the proposed electronic M&E system is linked to the Legislature's IT systems master-plan.

In the absence of an electronic Document / Knowledge Management System within the organisation, the M&E practitioners should take responsibility for storing information and reports in such a manner that it is easily accessible.

The core of a central M&E repository should be a reliable and easily accessible catalogue of studies and their findings and recommendations that must be available to any interested party. The institution should make these findings easily available for consumption via the Legislature's intranet for internal use or post evaluation results on their website for public consumption. This will require a close working relationship between the M&E practitioners and the ICT / Document Management Unit.

15. Sustainability of Monitoring and Evaluation

Systems that are not used will not be sustainable. The issue of use needs to be addressed at the start as it is a pre-requisite to system sustainability (Kusek, JZ & Rist, RC. 2004: 152).

Structured requirements for reporting results, including legislation and regulations can assist to a sustained, consistent demand for such systems. Governments and civil society is increasingly requiring the results that M&E systems can best track, monitor and measure.

Uncertainty regarding political backing for and the lack of legislation with regard to M&E in South Africa may be cause for concern as it could hamper effective institutionalisation and improved programme performance.

M&E systems should be built in such a manner that there is a demand for results information at every level where data are collected and analysed.

Six critical components crucial to the construction of a sustainable M&E system have been identified:

- Demand for results at every level of data collected;
- Trustworthy and credible information to be generated and disseminated;
- Accountability
- Identification of clear roles and responsibilities;
- Capacity
- Incentives.

16. Phased implementation of the sector Monitoring and Evaluation Framework

This *Framework*, when customised to suit the needs of an individual legislative institution, will yield a roadmap for how to assess its performance over time relative to its strategic plans and policies. Moreover, this will encourage standardisation and information sharing within the legislative sector. Meeting on a regular basis to share experiences will contribute to building institutional capacity for M&E will not occur overnight. Legislatures need to exercise patience as there may be a gradual, yet systematic phasing in of M&E frameworks, systems and good practices. Furthermore, M&E practitioners may encounter significant change management challenges, such as resistance from line managers, until such time that transformation has occurred.

Having a clear M&E framework, systematic approaches to M&E and clear action plans will go a long way in generating quality, and credible M&E findings, which are influential in shaping oversight, law-making, budgeting and accountability. Legislatures are encouraged to use this Framework to improve their M&E approach, systems and implementation strategies effectively and efficiently.



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ANNEXURES

Annexure 1

GLOSSARY OF KEY TERMS	
Accountability	Obligation to demonstrate that work has been conducted in compliance with agreed rules, standards and targets set and report accurately on work done. The processes or actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilised to produce the desired outputs and ultimately outcomes.
Activities	A description of the status quo, usually statistically stated, that provides a point of comparison for setting future performance targets. It is a measure of current performance levels that an institution aims to improve when setting performance targets
Baseline	Information – usually consisting of facts and figures collected at the initial stages of a project – that provides a basis for measuring progress in achieving project outcomes. Historical performance.
Baseline Information	Functions of Parliament/ Legislatures, carried out by Members including in Committees, as set out in Chapter 4 and 6 of the Constitution.
Core Business	An analytical procedure for determining the economic efficiency of a programme, expressed as a relationship between costs and outputs, usually measured in monetary terms.
Cost-benefit analysis	It else being equal, what would have happened if an intervention did not exist or if some other policy initiative was implemented
Counterfactual	Measures the extent to which an objective has been achieved or how likely it is to be achieved
Effectiveness	Measures the extent to which an objective has been achieved or how likely it is to be achieved.
Efficiency	Assesses how inputs/ resources (such as costs and implementing time) are converted into outputs. Usually stated in the form of economic and/or financial results.
Evaluation	Systematic and independent assessments of ongoing or completed projects or programs, their design, implementation, and results with the aim of determining the relevance of objectives, development efficiency, effectiveness, impact, and sustainability and relevance of an intervention in context of stated objectives.

Evidence Based Decision Making	<p>Evidence-based decision making is the systematic application of the best available evidence to the evaluation of options and to decision making in management and policy settings. Evidence can come from any of the three data terrains outlined in the M&E system:</p> <ol style="list-style-type: none"> 1. programme performance information, 2. evaluation and census data/statistics – as well as from research studies, and 3. Local community information.
Feedback	Objective and timely information by the manager/supervisor on the employee's performance against set expectations and standards, understood by the employee's member, and aimed at improving performance.
Finding	A finding uses evidence from one or more evaluations to allow for a factual statement
Goal	The higher-order outcome to which a programme is intended to contribute (Sometimes the goal long-term outcome of a programme is referred to as the goal).
Indicators	<p>A measure used to gauge the extent to which an output or target has been achieved (policy developed, presentation delivered, service rendered). Quantitative or qualitative statements that can be used to describe situations which exist and measure changes or trends over a period of time. (In the context of the logical framework approach, an indicator defines the performance standard to be reached in order to achieve an objective.) Cost, Quality, Quantity, Time or Compliance.</p>
Impact	The positive and negative, and foreseen and unforeseen, changes to and effects caused by an intervention, or the projects or programs under evaluation. The results of achieving specific outcomes.
Input	The resources (funds, personnel, materials, etc.) for a project or programme to carry out the activities that are necessary to the production and delivery of the intended outputs.
Interventions	An intervention is a series of activities aimed at bringing about clearly specified objectives within a defined time period and with a defined budget. M&E takes place in relation to planned interventions.
Logical Framework Approach	The tool for developing and monitoring the logical relationship between inputs, outputs, and objectives/goals that determines the implementation of a project or programme via identification, formulation, appraisal, implementation, monitoring, reporting and evaluation.
Milestones	Milestones are used as indicators of how far you have travelled within a given time period (performance) or how far you are from reaching your target destination (achievement). In terms of programme monitoring the milestones describe the expected progress towards the implementation of activities (events), delivery of outputs (progress) and achievement of the outcome within a specific time period e.g. a quarter or a year. (See target)

Monitoring	The continuous or periodic process of collecting and reviewing of data to measure the performance of a program, project, or activity and implementation by management to assess delivery, identify difficulties, ascertain problem areas and recommend remedial action(s). (As an integral and continuing part of project/program management, it provides managers and stakeholders with regular feedback on implementation and progress towards the attainment of objectives and early indicators of problems that need to be corrected. It usually reports on actual performance against what was planned or expected).
Monitoring and Evaluation (M&E)	The combination of monitoring and evaluation which together provide the knowledge required for: a) adaptive project management, b) reporting and accountability responsibilities, c) learning and d) empower the primary stakeholders.
Monitoring and Evaluation System	The set of planning, information gathering and synthesis, and reflection and reporting processes, along with the necessary supporting conditions and capacities required for the M&E outputs to make a valuable contribution to project decision making and learning. A monitoring and evaluation system is a set of organizational 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.
MTEF (Medium Term Expenditure Framework)	Three-year budget, which support the implementation of organizational strategic goals and objectives
Outcome	Describes the situation that is expected to exist at the end of the project or programme in terms of the benefits that the beneficiaries will derive. Outcomes are the medium-term results for specific beneficiaries which 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". Outcomes are often further categorised into immediate/direct outcomes and intermediate outcomes.
Output	The planned results/deliverables that can be guaranteed with high probability as a consequence of the implementation of project activities. An output is used synonymously with the terms outcome at more senior levels and result of an activity at the lower levels of an organisation.
Policies, strategies, programmes and projects:	Policies are statements of what government seeks to achieve through its work and why. Strategies are sequentially structured descriptions of how these policies will be enacted. Programmes (outside of 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.

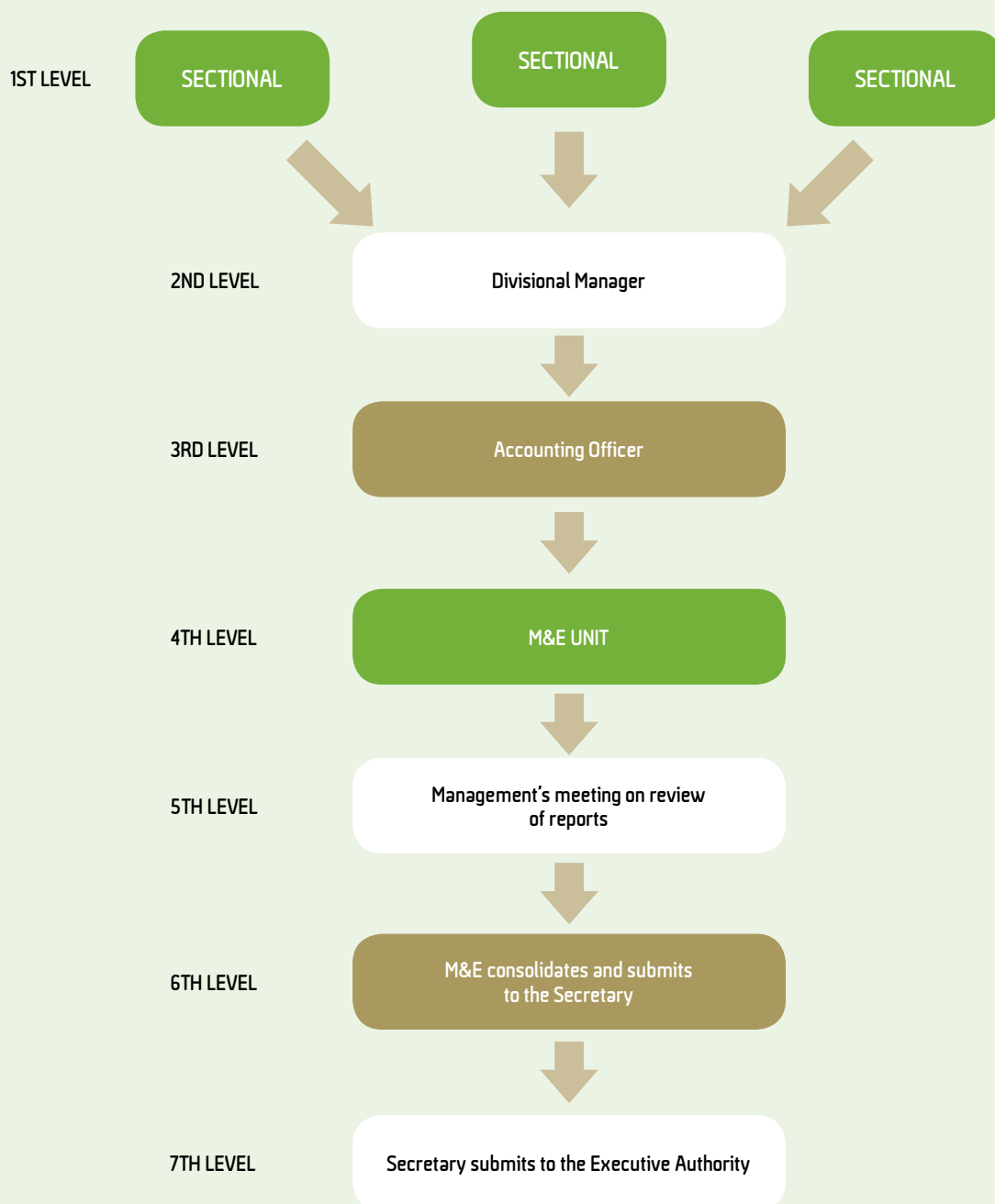
Programmes	A group of related projects or services directed toward the attainment of specific (usually similar or related) objectives. Can have various meanings, either: (i) a set of interventions put together under the overall framework of a common Overall Objective/Goal; (ii) an ongoing set of initiatives/services that support common objectives (i.e. a Leadership and Governance Programme); or (iii) a Sector Programme, which is defined by the responsible government's sector policy
Projects	Planned undertakings designed to achieve certain specific objectives within a given budget and a specific period of time, and implemented in one or more sites.
Qualitative	Refers to research that relies on non-numerical data, tends to rely on behavioural observations or interviews with participants. Qualitative data normally describe people's knowledge, attitudes or behaviours.
Quantitative	Data measured or measurable by quality and expressed in numbers or quantities
Relevance	The degree to which a project or programme can be justified within the local and provincial development priorities.
Resources	terms that a project has or needs in order to operate, such as staff time, managerial time, local knowledge, money, equipment, trained personnel and socio-political opportunities.
Result	Describes the services and products that will be delivered to the beneficiaries.
Result-based management:	Is based on four pillars: <ul style="list-style-type: none"> • definition of strategic goals which provide a focus for action; • specification of expected results which contribute to the achievement of these goals; and the alignment of programmes, processes and resources in support of these expected results; • on-going monitoring and assessment of performance, integrating lessons learnt into future planning; and • improved accountability for results (whether programmes made a difference in the lives of ordinary South Africans).
Review	Comprehensive assessments of the progress of a programme or component during implementation.
Risk	Possible negative factors, i.e. events, conditions or decisions, which are expected to seriously delay or prevent the achievement of the objectives and outputs (and which are normally largely or completely beyond the control of the project management).
Stakeholders	People, groups, organisations, or other bodies with a "stake" or interest in the area or field where interventions and assistance are directed.

Summative evaluation	Evaluation activities normally undertaken at the end of a project/programme to render a summary judgement on the impact of the programme's performance, e.g. specific goals and objectives were met.
Sustainability	The ability of a project or program to deliver benefits to the target group for an extended period of time after completion.
Target	The target specifies the goal or level of magnitude (number or dimension) within an indicator (e.g. 3% annual economic growth).
Theory of change	A tool that describes a process of planned change, from the assumptions that guide its design, the planned outputs and outcomes to the long-term impacts it seeks to achieve
Validity	The extent to which the information measures what it is intended to measure.
Verification	The process of affirming that a claimed identity is correct by comparing the offered claims of identity with previously proven information stored"

Annexure 2

PROCESSES – FINALISATION OF THE QUARTERLY REPORT

The figure below illustrates the processes followed towards the finalisation of the quarterly report:



Annexure 3

EXAMPLE – PLANNING FOR THE CORE FUNCTION OF THE LEGISLATURE

The Speakership, supported by the Secretary to the Legislature and her/his Deputy Secretary/ COO/ General Manager responsible for M&E, drives the planning process. Other important role-players include the following political and administrative staff members.

- Office bearers, e.g. the Chairpersons (including House Chairperson), Whips and senior management meet to discuss the vision, mission and broad strategic goals, objectives and values of the Legislature
- The Legislature Executive Committee/ Board/ Rules Committee and senior management responsible for refining the objectives in processing the development of strategic objectives
- Chairperson of Committees drives the Annual Operational Planning of Committees to produce a Business Plan /Annual Oversight Plans
- Secretary drives the Annual Operational Planning of the Administration to produce Annual Operational Plans of Directorates/ Sections

PERFORMANCE MONITORING & REPORTING

- The Office of the Chairperson of Committees ensures that Committees (i) implement their Annual Oversight Plans; (ii) report monthly and quarterly on their performance. These quarterly reports are tabled at the Legislature Executive Committee /Board/ Rules Committee by the Chairperson of Committees.
- The Secretary to the Legislature ensures that (i) Operational Plans of all Directorates/ Sections are implemented; (ii) Directorates/ Sections produce monthly, quarterly and annual reports. These reports are discussed at Unit, Section, and Directorate levels where required interventions are recommended for implementation by the specific programme. Consolidated reports are submitted to the Secretary for submission to the Speaker.
- Institutional (political and administrative) performance reports are developed, submitted to Management, the Executive and finally to Treasury.

Annexure 4

AUDITING VERSUS MONITORING AND EVALUATION

The primary difference between auditing and monitoring & evaluation stems from the ownership of, and responsibility for, the different processes. Auditing is primarily the responsibility of the external and internal audit function, whereas monitoring & evaluation are the responsibility of management. Management is responsible for maintaining effective control systems and has the primary responsibility for monitoring & evaluating the effectiveness of controls.

Auditing, on the other hand, independently verifies that operations and processes of an organisation are carried out in adherence to predefined standard procedures and to establish whether any financial irregularities exist. External auditors perform auditing activities to provide assurance and more timely insight into risk and control issues. Audit can further be distinguished from M&E by its objectives, scope, those involved, as well as the users of the results.

Despite the differences highlighted, the relationship between auditing and M&E is of the utmost importance. Audit results can provide management with valuable insight into effectiveness and efficiency of the systems, processes and controls that are in place and that are essential for effective M&E. Management is provided with a perspective on systems, processes and controls in the organisation that will be seen as credible and untainted by political considerations

Adapted from *The Relationship between Auditing, Monitoring and Evaluation in the Public Service* by T Laubscher (2012) PSC News. Arcadia.

Notes

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