



# Monitoring and Evaluation Policy

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## 1. PURPOSE

The Monitoring and Evaluation policy guides the collection, analyses, and reporting of inputs, activities, outputs, outcomes, and impacts as well as external factors, in a way that supports effective management of programmes. It also determines the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact, and sustainability of SASSETA programme interventions. The process of monitoring and evaluating projects and programmes involves stakeholder participation and is an independent function in an organisation.

## 2. ACRONYMS AND TERMINOLOGY

Acronyms/Term	Definition
CEO	Chief Executive Officer
MANCO	Management Committee
M&E	Monitoring and Evaluation
PAIA	Promotion of Access to Information Act 2 of 2000
PAJA	Promotion of Access to Justice Act
POPI	Protection of Personal Information Act 4 of 2013
SASSETA	Safety and Security Sector Education and Training Authority
SLA	Service Level Agreement
SOP	Standard Operating Procedure

## 3. SCOPE

This policy applies to all forms of monitoring and evaluations including, but not limited to, Discretionary Grant projects, special projects, and/or organisational performance. This policy sets out the compliance for monitoring to support SASSETA initiatives across all programme interventions

#### 4. REGULATORY FRAMEWORK

This policy derives its authority from the sources below.

- 4.1. Public Finance Management Act, No. 1 of 1999
- 4.2. Public Audit Act, No. 25 of 2004 ("the PAA"): Section 20(2) (c)
- 4.3. Framework for Managing Programme Performance Information, 2007  
Performance Information Handbook, 2011
- 4.4. Various guiding Circulars developed by oversight government departments
- 4.5. Protection of Personal Information Act 4 of 2013
- 4.6. Promotion of Access to Information Act 2 of 2000
- 4.7. Promotion of Administrative Justice Act 3 of 2000
- 4.8. Monitoring and evaluation framework (DPME)
- 4.9. National Evaluation Policy Framework.
- 4.10. GWM&E Policy Framework

#### 5. PRINCIPLES

The application of this policy shall be guided by the principles of:

- Ethics and integrity
- Consistency and reliability
- Objectivity and independence
- Transparency and accountability
- Efficient and prompt considerations of matters covered by this policy
- Fairness and reasonableness and protection of the interests of the parties involved
- Inclusivity
- Completeness and clarity of reports
- Utility

## 6. POLICY PROVISIONS

### 6.1 *Monitoring and Evaluation Framework*

- 6.1.1. Provides an integrated, encompassing framework of M&E principles, practices, and standards to be used throughout SASSETA.
- 6.1.2. Functions as an apex-level information system that draws from the component systems in the framework to deliver useful M&E products for its use.
- 6.1.3. Facilitates a clear sequence of events based on critical reflection and managerial action in response to analysis of the relationships between the deployment of inputs, the generation of service delivery outputs, their associated outcomes, and impacts.
- 6.1.4. Monitoring and Evaluation activities will inform the budget and the resources required.

### 6.2 *Standard Operational Procedures (SOP)*

- 6.2.1. The SOP shall provide a step-by-step guide to conducting Monitoring and Evaluation.
- 6.2.2. Guides what, who, how, when, and lists the activities related to Monitoring and Evaluation.
- 6.2.3. Guides the institutionalisation of the Monitoring and Evaluation function.

## Monitoring

### 6.3 *Monitoring Guidelines*

- 6.3.1. The monitoring guidelines are designed to strengthen the optimisation of departmental resources when conducting monitoring.
- 6.3.2. All monitoring methodologies will be conducted taking into consideration the criteria prescribed in the monitoring guidelines.

#### **6.4. Onsite/Telephonic/Virtual Monitoring**

- 6.4.1. Onsite monitoring shall be conducted at the premises where the learning is taking place. During onsite visits, activities include observations and identifying findings on specific service delivery issues that include deciding whether targets in the plans of the departments are met.
- 6.4.2. During telephonic monitoring, all parties are contacted telephonically. Separate platforms are created for interviews and all parties give their view on the project implementation in general and mention the challenges that they are facing. All matters discussed are documented, analysed, and captured in a report template and feedback is then provided to the relevant department.
- 6.4.3. During virtual monitoring, a meeting request is sent through Microsoft Outlook and includes an MS Teams or Zoom link to the employer, the provider and the employer are provided with a sample of learners on the list to be interviewed. A separate platform will be created to ensure that all parties participate fully without any intimidation.

#### **6.5 Monitoring template**

- 6.5.1. The monitoring template is designed to guide what needs to be captured for data collection, analysis, and reporting.
- 6.5.2. The monitoring template captures project status, contract management, learning programme interventions, the use of inputs and resources, the progress of activities, and the delivery of outputs.

### **Evaluation**

#### **6.6 Project Charter**

- 6.6.1. A project charter is drafted per project at the commencement of the project. It is used to obtain approval from the Executive Manager: Skills planning, Research, Monitoring, Evaluation and Reporting.

- 6.6.2 The project charter defines the goals, objectives, and basic purpose of the work (all of which will ultimately feed into your evaluation/impact studies).
- 6.6.3 Based on the background of the project, the charter will create a shared understanding of the project's goals, objectives, and resourcing requirements, before you start scoping these out further and, in more depth,
- 6.6.4 Define stakeholders and give guidance on how to present all the above to get buy-in, investment, and authorisation to commence.

## **6.7 Terms of Reference**

- 6.7.1 The terms of reference provides background knowledge and the rationale for the evaluation. This allows us to show how the evaluation or review will be contextualised within the broader development strategy for SASSETA.
- 6.7.2 Identifies the specific evaluation questions and builds an understanding of the scope, process, and expectations for the desired task(s) by succinctly presenting information about why the evaluation is being conducted, its objectives, and its intended users.
- 6.7.3 Articulates the accountability arrangements and outlines the roles and responsibilities envisioned to conduct the evaluation/impact study, management, and coordination arrangements.
- 6.7.4 Sets the guiding principles or values and specifies research ethics or procedures that the evaluator(s) is expected to follow.
- 6.7.5 Identifies the professional qualifications of the individual evaluator or team and presents the expected profile of the evaluation team. This includes describing desired experience and credentials, as well as noting the minimum professional requirements or competencies.
- 6.7.6 Defines the deliverables, schedule, and specifies the expected deliverables, timeline, and any work plan if available.
- 6.7.7 Outlines the budget and the available resources for the evaluation.

6.7.8 If an evaluation study is conducted by an external Service Provider, the terms of reference will provide pertinent information about the project and will outline the basis for the project. Detailed information on the process of outsourcing evaluation studies is detailed in the Monitoring and Evaluation SOP.

## **6.8 Internal Controls**

6.8.1 The policy will take into consideration the internal control measures outlined in the SASSETA's Risk Appetite and Tolerance framework and Risk management strategy.

6.8.2 Adherence to Supply Chain policies and procedures.

6.8.3 Internal quality controls for monitoring and evaluation shall be adhered to as outlined in the SOP.

## **7. Roles and responsibilities**

### **7.1. Chief Executive Officer (CEO)**

7.1.1 The Chief Executive Officer supports the implementation of this policy and requires each staff member to support the values underlying the policy.

7.1.2 The Chief Executive Office will mandate the Executive Manager to perform such duties as are necessary to enhance the best policy practices of the SASSETA to enable compliance with legislative and regulatory requirements

### **7.2. Executive Managers**

7.2.1. The Executive managers are responsible for the implementation of this policy in their respective divisions.

7.2.2. The Executive managers will lead by example and shall themselves maintain good monitoring and evaluation policy management practices.

7.2.3. The Executive Managers will ensure that all staff is made aware of their responsibilities and obligations regarding the policy.

### **7.3. Monitoring Evaluation and Reporting Manager**

- 7.3.1. The MER manager is accountable for the implementation and monitoring of this policy across various departments in the organisation.
- 7.3.2 The MER manager will be accountable for monitoring and evaluation activities in the organisation.
- 7.3.3 The MER manager will prepare the evaluation report for publishing on the SASSETA website after approval of such reports from the SASSETA board.
- 7.3.4 The MER manager is accountable for staff awareness and training on this policy.

### **7.4. Monitoring and Reporting Practitioner**

- 7.4.1 The Monitoring and Reporting Practitioner is responsible for the administration of the policy with procedures.
- 7.4.2 The Monitoring and Reporting Practitioner is responsible for the implementation and monitoring of this policy.
- 7.4.3 The Monitoring and Reporting Practitioner is responsible for monitoring and evaluation activities in the organisation.
- 7.4.4 The Monitoring and Reporting Practitioner is responsible for updating this policy.
- 7.4.5. The Monitoring and Reporting Practitioner is responsible for staff awareness and training on this policy.

### **7.5 Departmental Managers**

- 7.5.1 The Learning Programmes Manager will be responsible for providing updates on DG projects and forward the project register to develop a schedule of projects to be monitored.

- 7.5.2 The Learning Programmes Manager will assist in providing inputs and required information/data on monitoring activities and evaluation studies to be undertaken.
- 7.5.3 The Marketing and Communication Manager will provide support in publishing the evaluation studies on the SASSETA website.
- 7.5.4 The Information and Technology (IT) Manager will provide support in ensuring that the data is accessible and maintained when monitoring and evaluation activities are undertaken.
- 7.5.5 The GRC Manager is responsible for keeping the Monitoring and Reporting Practitioners updated on developments in the legal and statutory environment that may impact the best policy practices of SASSETA.

## **8. POLICY REVIEW**

- 8.1 This policy will be reviewed every two years however, when necessary, the policy may be reviewed earlier in response to internal or external stimuli such as changes in operating practice, regulatory environment, or standards.
- 8.2 The revision of the policy shall be communicated through the appropriate formal organisational communication channels.