REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION IN THE PRESIDENCY

TERMS OF REFERENCE AND GUIDE

FOR AN

IMPLEMENTATION FORUM

[Name of Implementation Forum]

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Contents

1 Background

Implementation Forums oversee the implementation of specific outcomes. They bring together the main stakeholders who have a role to play, and need to ensure that effective coordination and problem solving is happening and that the delivery agreement is being achieved.

Implementation Forums are usually either MinMECs or Clusters. Sometimes the Minmec or Cluster will focus on the outcome, and sometimes it will focus on other issues. When the Minmec or Cluster is focusing on the outcome it is then functioning as an Implementation Forum.

Implementation Forum meetings focusing on the outcomes should occur at least every 3 months (at least 4 times a year), linked to reporting to Cabinet Committees on the PoA. Annexure 1 shows the relationship between the coordinating structures including Implementation Forums and Clusters.

In order to synchronise the quarterly reports with the financial year used by national and provincial government, the first quarterly reports from the Implementation Forums to the Cabinet Committees should be submitted to the Cabinet Office in February 2011. The other quarterly reports will then be submitted in May (covering the months of January, February and March), in August (covering the months of April, May and June) and in November (covering the months of July, August and September).

The main aim of monitoring and reporting on progress with implementing the delivery agreements is to enter into a cycle of continuous improvement. Monitoring of the progress reports should highlights areas where implementation is weak, or where the activities and outputs are not contributing to the outcome as planned. This in turn should result in interventions to improve implementation or in periodic revisions to the delivery agreements, so that government gets better at achieving the outcomes over time.

2 Purpose and Roles of the Implementation Forum

The purpose of the Implementation Forum is to develop the Delivery Agreement, ensure effective implementation and monitoring of the Delivery Agreement, unblock blockages where these manifest themselves and periodically agree on revisions to the Delivery Agreement, by all involved parties.

The roles of the Implementation Forum are:

- Develop, review and refine the delivery agreement(s) for the outcome
- Coordinate and secure mutually supporting actions amongst all members to fast-track delivery on the outputs and activities related to the outcome
- Ongoing monitoring of, and reporting on, implementation of the delivery agreement (the suggested format for reporting is attached in Annexure 4)
- Identify bottlenecks and lessons and identify the need for review of existing policies or the development of new policies
- Identify and resolve emerging bottlenecks which impact on the implementation of the outcome and which hamper effective service delivery
- Where needed, identify special working groups or specialized pieces of work, to address specific bottlenecks (or emerging opportunities)
- Manage risks associated with the outcome
- If the Implementation Forum is a MinMec or a related structure, refer issues of a crosscutting nature including legislation and high-level policy issues to the (relevant) cluster
- Submit quarterly progress reports to the relevant Cabinet Committee
- Refer issues requiring resolution to the relevant Cabinet Committee
- Decide on communication more widely with the sector to facilitate implementation, wider support and buy-in
- On an annual (or as and when required) basis, review and revise the delivery agreement, linking to the budget process from the 2012/13 budget.

The Technical Implementation Forum is responsible for preparing the content and reports for the Implementation Forum. In addition it may convene special working groups related to the outputs.

3 Composition of the Implementation Forum

This will depend on which type of existing structure is being used as the Implementation Forum.

Implementation Forum

The Implementation Forum will consist of the following permanent members, e.g.

a)   The Coordinating Minister(s) (Co-chairpersons)

b)   Other key Ministers identified in the delivery agreement

c)   Directors General or their representatives

d)   Outcome Facilitator from the Presidency

e)   Other organizations/ institutions identified in the delivery agreement, or who need to be involved to address a specific issue may be invited to attend the Implementation Forum meetings

If a MinMEC:

f)   The Members of the Executive Councils (MECs) responsible for the delivery agreement in their respective provinces and their Heads of Department

Technical Implementation Forum

The following are permanent members of the Technical Implementation Forum:

a) Director-Generals of the coordinating Departments (Co-chairpersons);
b) Director-General of other key departments identified in the delivery agreement
c) Outcome Facilitator from the Presidency

If a MinMEC:

d) Head of Departments responsible for outputs related to outcome X in the provinces

The Chairperson of the Technical Implementation Forum may invite any department/organization/stakeholders or any other persons to attend Technical Implementation Forum meetings as and when the need arises to assist in supporting the Technical Implementation Forum.

4   Functions of the Chairperson

The Coordinating Minister(s) of will convene, act as the Chairperson(s) and determine the agenda for the Implementation Forum meetings in consultation with the Chair of the Technical Implementation Forum, building on issues emerging from the monitoring reports, and feedback from DPME. A suggested agenda is in Annexure 2.

In some instances joint Implementation Forum meetings (between two or more Implementation Forums) may be required to discuss cross-cutting issues impacting on the outcome.

5 Documentation of the Implementation Forum

The following criteria will apply for the submission of documentation to the Implementation Forum:

- Implementation Forum agenda items must be supported by a submission in a standard format / template not exceeding one page
- Where supporting documentation in addition to the one pager is to be submitted the document should not exceed 10 pages and should comply with the format used to compile Cabinet Memoranda
- PowerPoint presentations could also accompany the one page submission and should be limited to not more than 10 slides
- The distribution of Implementation Forum documentation during meetings will not be allowed
- Classification of Implementation Forum documents will be the responsibility of departments, provinces and municipalities on the basis of the principles and requirements as contained in the Minimum Information Security Standards (MISS).

6 Implementation of Resolutions of the Implementation Forum meetings

The following criteria will apply with regard to the implementation of Implementation Forum resolutions:

Step 1:   The secretariat will draft the Implementation Forum Action Minutes within 7 days after the meeting

Step 2:   Copies of the draft minutes will be submitted to all Implementation Forum members

Step 3:   Accompanying the Implementation Forum resolutions will be a standard format letter requesting the relevant party to indicate what follow-up actions it will take to implement a resolution

Step 4:   One page progress reports will be requested from Implementation Forum members and stakeholders on the Implementation of Forum resolutions one week before Technical Implementation Forum meetings. These reports will be submitted to the Technical Implementation Forum for noting/discussion.

A transcription of the minutes of Implementation Forum meetings will be compiled for purposes of enquiries related to resolutions taken and provided to members.

7 Scheduling of Implementation Forum meetings

The following criteria will apply with regard to the scheduling of Implementation Forum meetings:

- Implementation Forum and Technical Implementation Forum meetings will be convened at least 4 times per annum;
- The Secretariat of Implementation Forum meetings will determine a schedule containing dates for Forum meetings;
- Implementation Forum meetings must take place as scheduled and should not be cancelled unless there are exceptional circumstances; and
- Only the Chairperson may cancel or postpone a meeting. If this situation arises it is proposed that the meetings be reconvened within seven days of the scheduled date.

8 Role of the Implementation Forum Secretariat

The Department of the Coordinating Minister or one of the Coordinating Ministers is responsible for providing the secretariat for the Implementation Forum. Annex 3 has suggested roles for the secretariat.

The DPME outcome facilitator is available to support with respect to substantive matters in the preparation for Forum meetings, as well as the reports for these meetings.

Annex 1: Outcome coordinating arrangements

Figure 1 below illustrates the relationships between the coordination structures. The coordination arrangements for the outcomes are shown on the left hand side. The Technical Implementation Forums can be either technical MINMECs or FOSAD clusters or FOSAD cluster substructures. The Technical Implementation Forums will report into the Implementation Forums, which straddle the administrative and executive level. The Implementation Forums in turn report into the relevant Cabinet Committees.
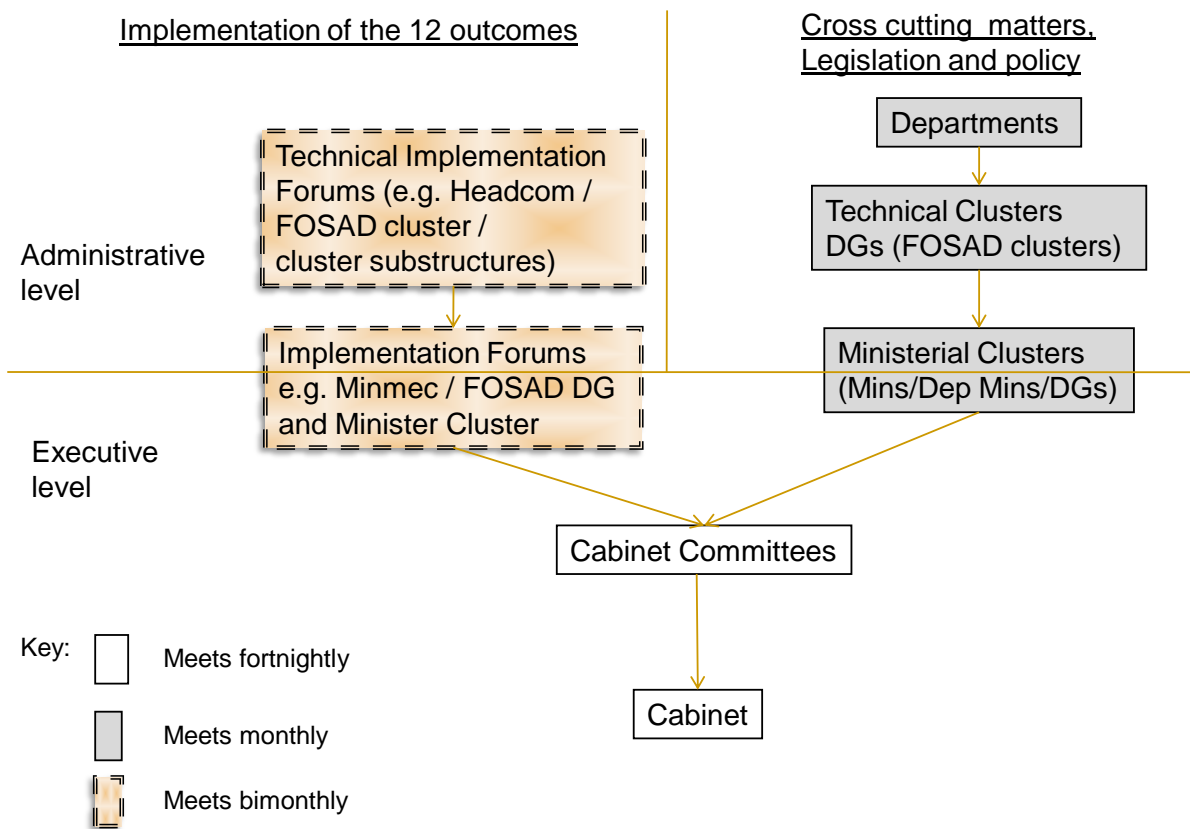
Figure 1 Relationships between Structures

Table 1 below shows the various coordinating structures per outcome. For the basic education outcome for example, the Technical MINMEC will serve as the Technical Implementation Forum, which will report into the MINMEC, as the Implementation Forum. The Minister of Education will in turn provide reports on the outcome from the MINMEC to the Social Protection and Human Development Cabinet Committee. For the outcome related to crime, alternate meetings of the JCPS FOSAD Cluster will serve as the Technical Implementation Forum, which will report into an Implementation Forum consisting of the Ministers and DGs of the departments in the JCPS cluster. This in turn will provide reports on the outcome to the JCPS Cabinet Committee. A key point to note from the table is that

these new proposals are based on integration with the existing MINMEC and FOSAD cluster systems so as to avoid creating duplicate structures with similar functions, to retain the advantages of the current systems, and to keep additional meetings to a minimum.

Table 1: Coordinating structures and outcomes*

	Coordinating Structure	Technical Implementation Forum	FOSAD Cluster	Implementation Forum	Cabinet Committee
	Level	Administrative	Administrative	Executive and administrative	Executive
	Agenda	Agenda: implementation of outcome	Agenda: General coordination	Agenda: implementation of outcomes	As before, with addition of outcome reports
1	Education	Headcom	Human Development	Minmec	Social Protection and HD
2	Health	Headcom	Human Development	Minmec	Social Protection and HD
3	Security	JCPS Cluster / substructure	JCPS	JCPS	JCPS
4	Skills	Headcom	Human Development	Minmec	Social / economic
5	Employment	Economic Cluster / substructure	Economic	Economic	Economic Sectors and Infrastructure Development
6	Infrastructure	Infrastructure Cluster / substructure	Infrastructure	Infrastructure	Economic Sectors and Infrastructure Development
7	Rural	Headcom	Social Protection / Economic	Expanded Minmec	Social / economic
8	H. Settlements	Headcom	Social Protection	Expanded Minmec	Social Protection and HD
9	Local gov't	Headcom	G&A	Expanded Minmec	G&A
10	Environment	Headcom	Economic / Infrastructure	Expanded Minmec	Economic Sectors and Infrastructure Development
11	International	ICTS Cluster / substructure	ICTS	ICTS	ICTS
12	Public service	G&A Cluster / substructure	G&A	G&A	G&A
	Key:				
	Integration with MINMEC system				
	Continuity with existing cluster system				

* There will be flexibility and diversity in the membership and functioning of the Implementation Forums and Technical Implementation Forums. Some of the work of the Forums may be carried out by various types of substructures. All departments and other spheres which have a substantial contribution to make to an outcome should participate in the Forums or their substructures.

Annex 2:   Suggested standard agenda for an Implementation Forum meeting

Item	Issue	Responsible
1	**Introduction**	
1.1	Welcome	Chair
1.2	Change to agenda and apologies	Chair
1.3	Approval of minutes of meeting of….	Chair
1.4	Report on progress on actions decided on by previous Implementation Forum meetings (a written summary should be prepared by the Secretariat so that items completed don't need to be discussed – see example format below)	Chair
2	**Development/refining of the Delivery Agreement**	
2.1	Any further developments on the delivery agreement	DG
3	**Quarterly report**	
3.1	Progress report including report on PoA and narrative report on issues arising	DG
4	**Addressing key issues arising from the quarterly report** (ensuring that remedial measures have been identified and responsibilities assigned)	
4.1	Issue 1	Minister/DG
4.2	Issue 2	Minister/DG
	Etc	
5	**Confirmation of decisions**	
5.1	Decisions by Implementation Forum	Chair
5.2	Decisions needed by Cabinet	Chair
	Date of next meeting	

Possible format for report on progress on decisions made

Item	Action	By whom	By when	Progress as at 15 Oct 2010
Meeting of x Sept 2010				
9.1	Meet Dept X to discuss Y	DG A	X Oct 2010	Meeting happened and DG B agreed to take responsibility
Meeting of x Oct 2010				
6.3	etc			

If a one page progress report is submitted this can be attached as an annex.

Annex 3:   Roles of Secretariat

The Department of the Coordinating Minister is responsible for providing the secretariat for the Implementation Forum with support available from DPME, and will be responsible for:

- Preparing draft agendas for Technical Implementation and Implementation Forum meetings;
- Structuring the Implementation Forum agenda in accordance with key outputs identified for the outcome;
- Compile quarterly progress reports for submission to the relevant Cabinet Committee, including the PoA report;
- Ensuring that the following timeframes for the submission and distribution of Technical Implementation and Implementation Forum documentation are met:
  - Submission of Implementation Forum documentation 10 working days before the meetings;
  - The Implementation Forum agenda and documentation is finalised 7 working days prior to meetings and distributed at least 5 working days before Implementation Forum meetings.
- Submitting the draft agenda to Technical Implementation Forum members for comments and consideration;
- Sending invitations and coordinating attendance of members of the Implementation and Technical Implementation Forum;
- Logistical arrangements (e.g. venues, equipment and catering for meetings);
- Preparing a budget for Implementation Forum meetings at the end of the preceding financial year;
- Ensuring that processes relating to protocol and security are followed.

Annex 4: Guide for Quarterly Report against Outcomes to Implementation Forums and Cabinet Committees

A4.1 Background and Introduction

The Delivery Agreements are being captured in the Programme of Action (PoA) (a web-based system managed by DPME). Coordinating departments are responsible for ensuring that data on progress against the Delivery Agreements is entered into this system.

Implementation Forums are required to submit quarterly reports on progress with implementing Delivery Agreements to Cabinet Committees. The quarterly reports draw on the report on progress produced by the PoA system.

The quarterly report is tabled at the Implementation Forum and then the Cabinet Committee, and should highlight progress, how blockages are being addressed, and what support is needed from others.

This Guide covers the process for drawing up the quarterly reports for submission at Implementation Forum meetings.

The quarterly report should enable Ministers to understand progress, the reasons for underperformance, what actions have been taken to address problems, and what additional actions are required.

The principles that underlie the quarterly report are:

- The report should be based on progress against the indicators in the delivery agreement and be as objective as possible
- Departments can <u>optionally</u> decide whether to put quarterly targets or milestones in the PoA. If they do not have quarterly milestones or targets then they report against progress against the annual or overall target/milestone[1]

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[1] Milestone is a tangible intermediate deliverable before getting to the final product, whereas an annual target would be how much of the final target is achieved.

- The report is a communication tool, and so should assist all stakeholders to understand what is happening and what needs to be done, using traffic lights (red, amber, green) to signal whether we have major problems, some problems, or things are going well
- The report requires substantial preparatory work
- The Implementation Forum should be used to take decisions, and to agree how problems need to be solved, and who will do it
- Cabinet Committees need to be given an overview of the situation, with clear signals about what decisions (if any) they need to take
- The report needs to give a sharp overview of the situation, with detail where it is needed to understand problems and facilitate resolution.

There should be a standard use of the meaning of the "traffic lights" to avoid confusion and the following is suggested:

- Red – likelihood that the target will not be achieved, or not achieved in the planned timescale – major remedial action is needed and an intervention is required
- Amber – danger that the target will not be achieved, or not achieved in the planned timescale – remedial action is needed to avoid this happening
- Green – on course – no major action needed

Where there are problems (red and amber), there should be accompanying explanation, including actions undertaken and actions required.

A4.2 Content of the reports

Some of the suboutput level indicators cannot be measured on a quarterly basis (in many cases there is no data at that frequency). This means that quarterly reports will draw largely on activity level data, with the report for the fourth quarter providing annual data on outcomes, outputs and suboutputs. Where data is available for suboutputs/outputs more frequently, the report can include this.

While the quarterly report will be largely based on activities, some of the delivery agreements have up to 700 activities, so again it is difficult to digest a report at activity level. Therefore the coordinating department(s) should produce a summary progress report which draws from the more detailed activity level reports.

<u>PoA Report</u>

Standard PoA quarterly progress reports will be drawn from the system (these will reflect data captured by the coordinating departments). The PoA report will provide progress against activities, and where data is available, against suboutputs/outputs or even outcomes. These detailed activity level reports will be used for detailed analysis of progress.

<u>Summary Progress Report</u>

The Summary Progress Report is the report which should be presented to the Implementation Forum (the more detailed PoA report can be attached as an annexure to the summary report). The summary report focuses on the key activities.

The coordinating department should take a view on whether each suboutput is likely to be achieved, using the definition of red/amber/green used earlier in the Guide. If items are red or amber, a description of actions taken or required should be provided. Decisions that may be needed by the Implementation Forum, the Cluster, and Cabinet Committee should also be highlighted.

The table below shows the activities envisaged in drawing up the quarterly report.

Table 1:   Activities to develop the quarterly report

Activity	Anticipated Time Frame	Responsible body
1. Data input into the PoA	Ongoing	Coordinating departments
2. Generation of POA report, including activity level reports, showing status at activity/suboutput/output/outcome level	4 weeks before Cabinet Committee meeting	Coordinating Department
3. Production of Summary Progress report, based on performance of activities in each suboutput (Section 4 below). Report must include analysis of why the reds and ambers are occurring for key activities, and what needs to be done to unblock these.	3 weeks before Cabinet Committee meeting	Coordinating Department, with support from DPME and other departments
4. Technical Implementation Forum reviews Summary Progress Report, and revises for submission to the Implementation Forum	2 weeks before Cabinet Committee meeting	Technical Implementation Forum
5. Minister's Implementation Forum considers report and indicates any changes required before the report is Submitted to the Cabinet Committee.	1 weeks before Cabinet Committee meeting.	Implementation Forum

Activity	Anticipated Time Frame	Responsible body
6. Submission of report to Cabinet Committee	1 week before Cabinet	
7. Cabinet considers the reports		

A4.3   Contents of Summary Progress Report

The report will be drawn up drawing on the PoA report, but will focus on the key activities, and will also include a narrative with qualitative analysis. The coordinating department should take a view on whether each suboutput is likely to be achieved, using the definition of red/amber/green used earlier in the Guide. The relevant PoA report can be attached to the Summary Progress Report.

A. Summary Progress Table

Output and suboutput number	Name	Overall progress of the output/ suboutput (red/amber/ green)	Explanation of problems (where red/amber) (focusing on key activities)	Action taken to resolve blockages	Further action needed to resolve blockages (by who)
8.1	**Accelerated delivery of housing opportunities**				
8.1.1	Upgrading households in informal settlements	Red	*1-2 paragraphs. This may need annexes to give detail, explaining which activities are working well, which not.*	*1-2 paragraphs. This may need annexes to give detail.*	*1-2 paragraphs*
8.1.2	Implementation	amber	*1-2 paragraphs. This may*	*1-2 paragraphs. This may*	*1-2 paragraphs*

Output and suboutput number	Name	Overall progress of the output/ suboutput (red/amber/ green)	Explanation of problems (where red/amber) (focusing on key activities)	Action taken to resolve blockages	Further action needed to resolve blockages (by who)
	of national Upgrading Support Programme		*need annexes to give detail, explaining which activities are working well, which not.*	*need annexes to give detail.*	
8.1.3	Increased provision of well-located rental accommodation	green			
8.1.4	Etc				

17

B. Overview of the quarter

This should be a maximum of a page and give an overview of the main achievements and challenges in the quarter.

C. Key areas where action is needed

Include a brief description of each area where there are blockages, the reasons for the blockages, what has been done about them, and what still needs to be done by who about them.

D. Decisions needed

By Implementation Forum or Cabinet

Indicate clearly what decisions are needed by the Implementation Forum and by the Cabinet Committee or Cabinet.

By cluster (cross-cutting issues, legislation, policy etc)

Indicate clearly what decisions are needed by the relevant cluster on cross-cutting issues across outcomes, legislation, policy etc.